



# EUFAR Training Course

## Airborne Remote Sensing for Monitoring Essential Biodiversity Variables in Forest Ecosystems (RS4forestEBV)

*Bavarian Forest National Park and German Aerospace Center, Germany,  
3-14 July 2017*

### Lecture 11: Tree Species Classification

*Nicole Pinnel, German Remote Sensing Data Center*



UNIVERSITY OF TWENTE.



Deutsches Zentrum  
für Luft- und Raumfahrt



NATIONALPARK  
Bayerischer Wald



**vito**

vision on technology



# Tree species information

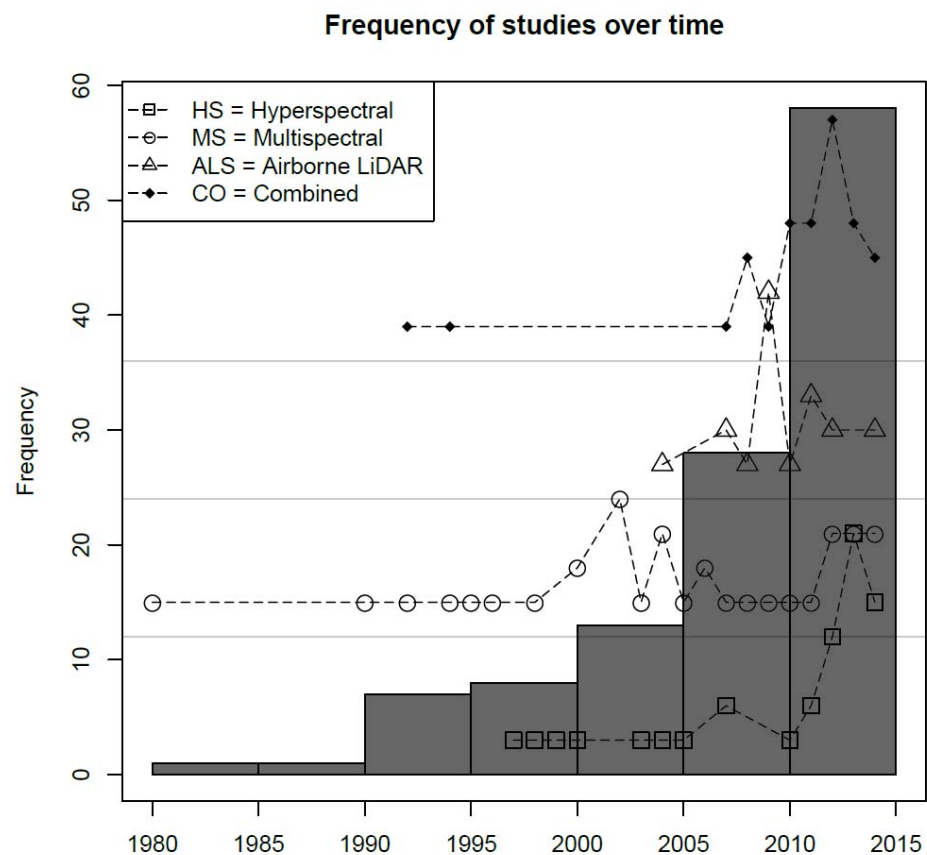
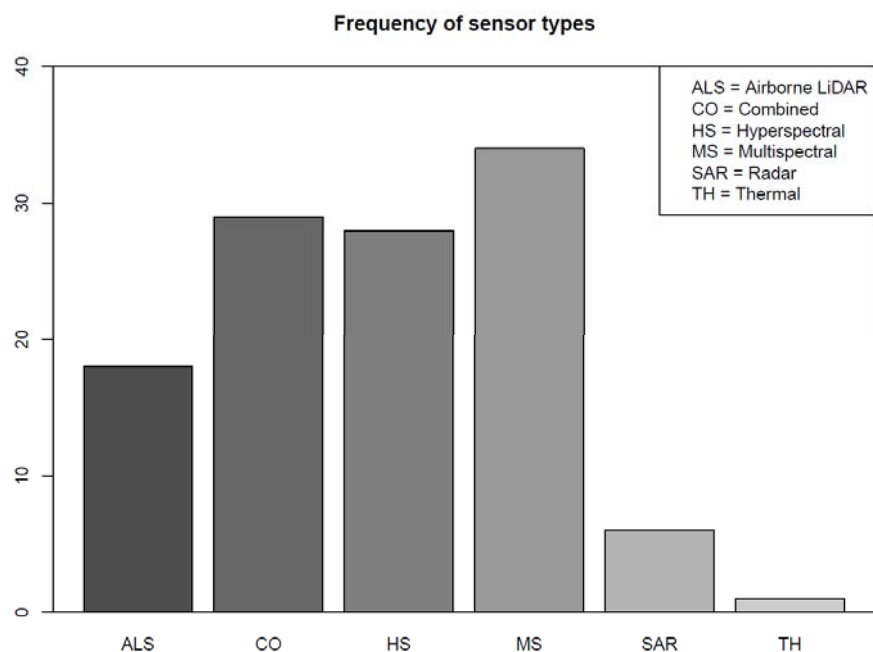
Motivation by a wide variety of applications confronting the forest management and conservation sector:

- ▲ Resources inventories
  - ▲ Biodiversity assessment
  - ▲ Hazard and stress management
  - ▲ Monitoring invasive species
  - ▲ Wildlife habitat mapping
  - ▲ Sustainable forest management
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# Objective

- ▶ General trends in remote sensing studies focusing on tree species classification
  - ▶ Provide an overview of the current approaches for classifying tree species
  - ▶ Identify research gaps and future trends for tree species classification using remote sensing data
  - ▶ Case study: Bavarian Forest National Park
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# Overview



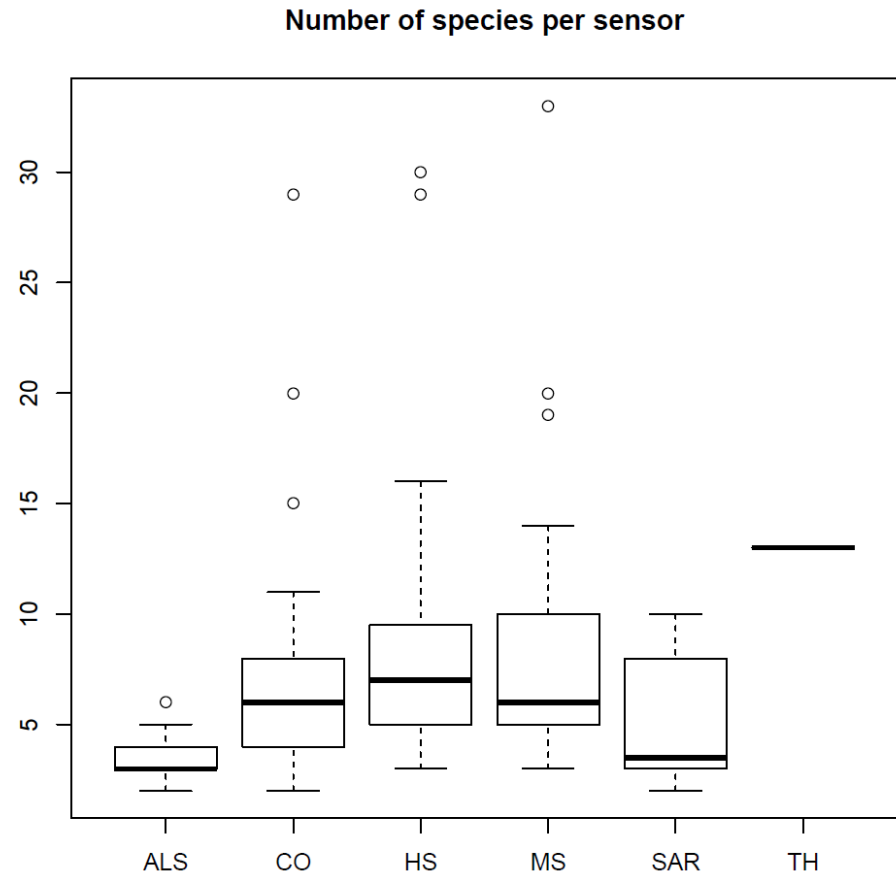
Descriptive statistics compiled from 116 selected studies focusing on tree species mapping



# Overview

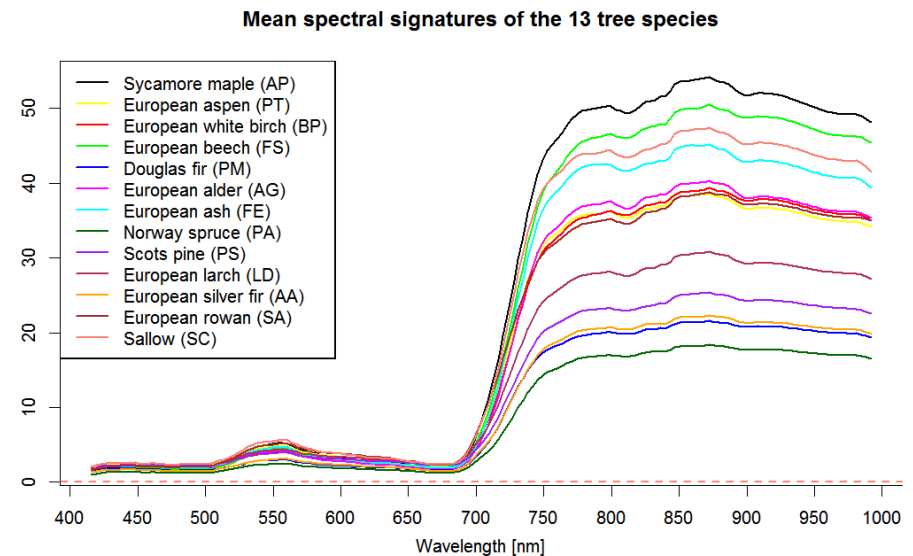
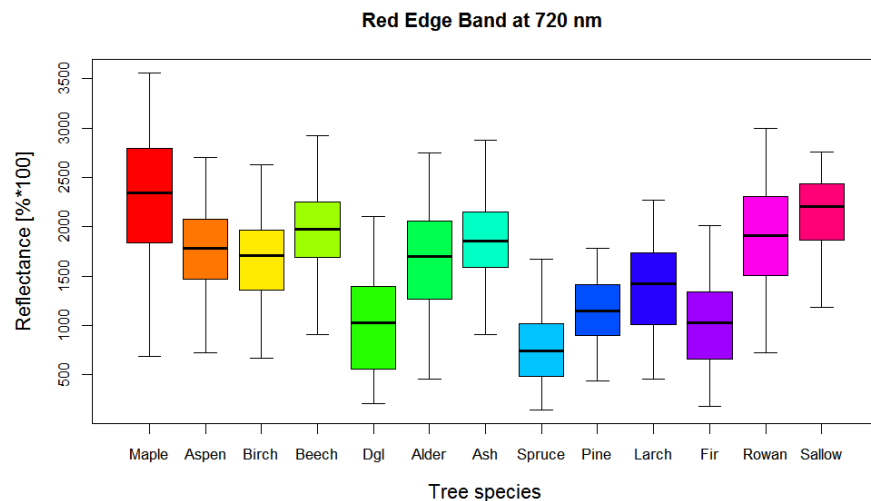
## Number of species per sensor type.

Descriptive statistics compiled from 116 selected studies focusing on tree species mapping



# Challenge

Capture the complex inter- and intra-species spectral variability and the problem of spectral similarity.



→ Additional data needed (LiDAR, Vegetation indices etc.)

# Optimal ground sampling density and spatial unit

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# Ground sampling density and spatial unit

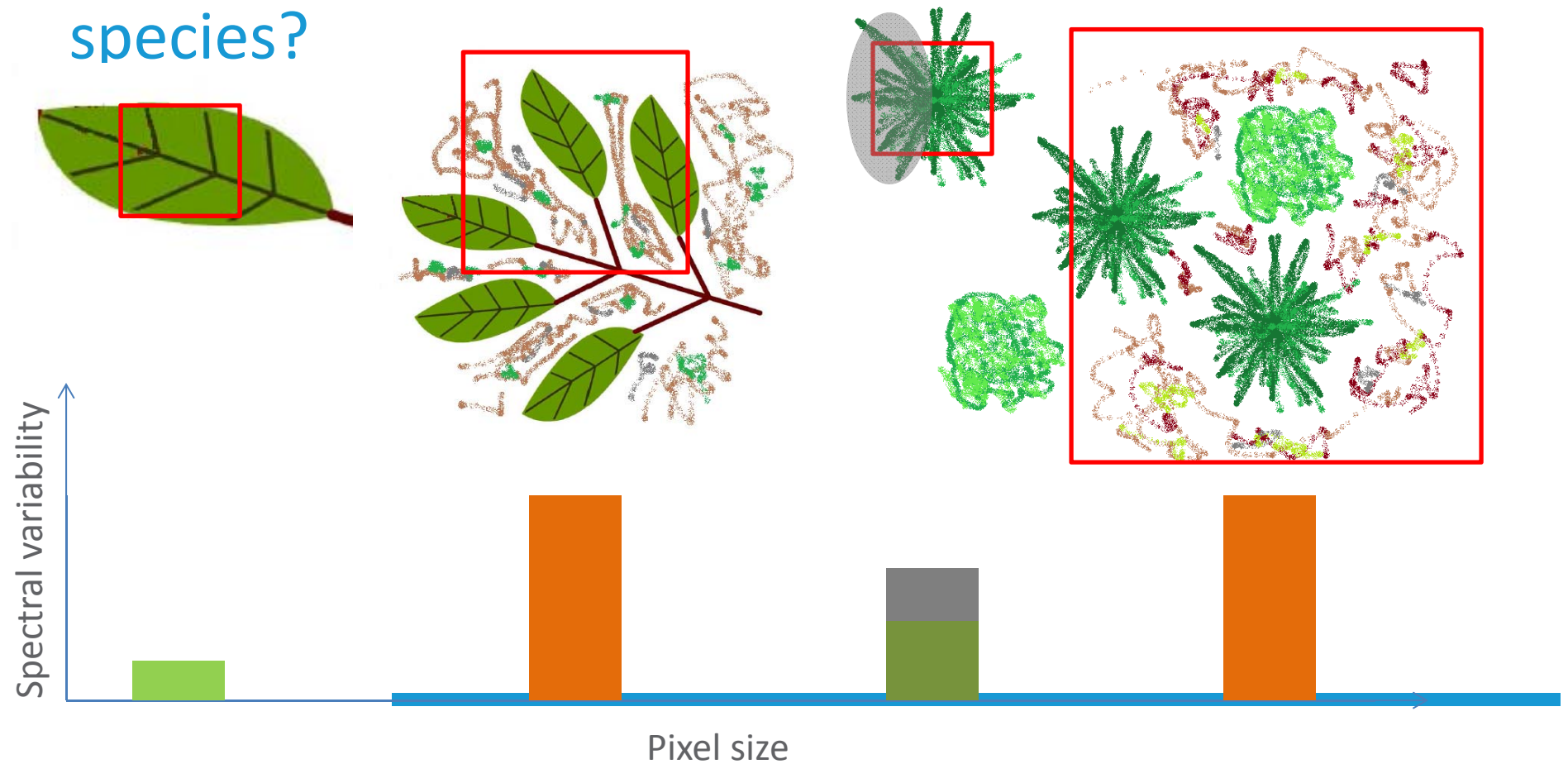
- ▲ What is the spatial unit on which species information should be obtained ?
- ▲ What is the optimal ground sampling density (pixel size) of a given sensor to derive tree species information

# Spatial resolution and scale

- Complex interplay of radiation with crown tissues (foliage, stems, branches, fruits, lianas and flowers)
  - background signal (stemming from soil, herbaceous vegetation)
  - structural arrangement of foliage (number of layers, clumping and leaf angles) and shadow fractions
  - View-illumination geometry
-

# Spatial resolution and scale

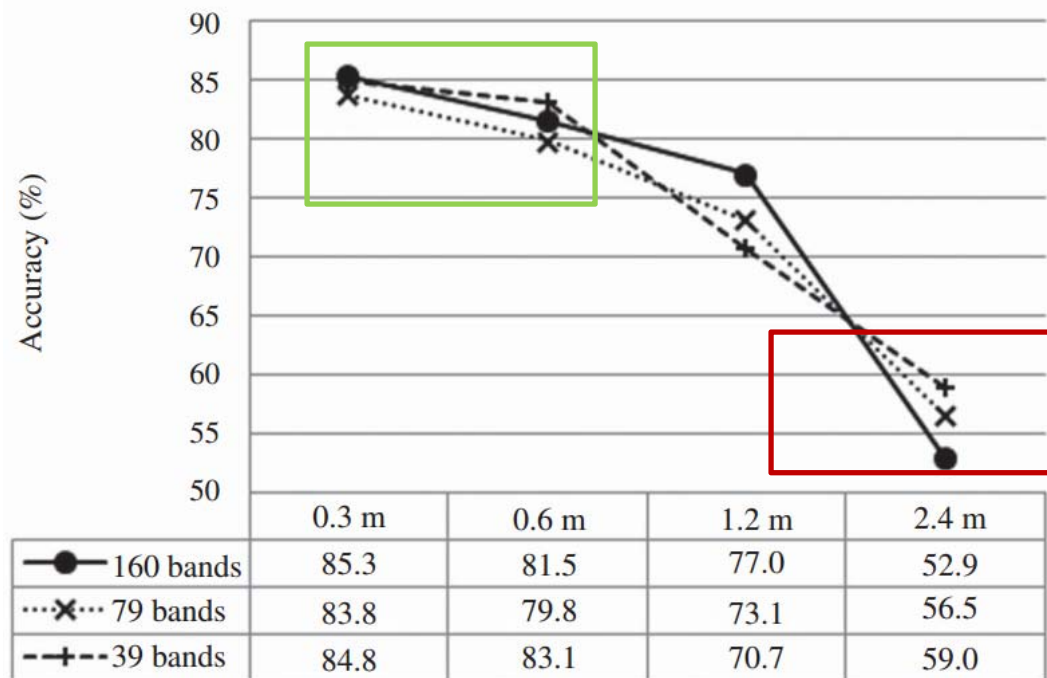
What is the optimal pixel size for classifying tree species?



# Spatial resolution and scale

What is the optimal pixel size for classifying tree species?

Experiences from case studies (II)



Pena, M.A., Cruz, P. & Roig, M. (2014). The effect of spectral and spatial degradation of hyperspectral imagery for the Sclerophyll tree species classification. *Int. J. of Rem. Sens.*, 34(20), 7113-7130.

# Spatial resolution and scale

What is the optimal pixel size for classifying tree species?

Case studies suggest:

Either possibly small pixels ( $< 0.5$  m)

Or: pixels close to the size of an individual crown

BUT: So far the spatial unit was a pixel!

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# Spatial resolution and scale

What is the optimal spatial unit to obtain species information?

Three obvious approaches:

- (I) Pixel
- (II) Single-tree objects
- (III) Stands or other operational unit

# Spatial resolution and scale

## What is the optimal spatial unit to obtain species information?

Advantages of object-based approaches (single tree and stand-level) in case accurate objects can be obtained:

- Meaningful units (practitioners work with it)
- Combination of LiDAR and Hyperspectral becomes more powerful:
  - Normalization of spectra (sunlit parts of the crowns)
  - Majority voting approaches
  - Single-tree based geometric information (crown-base height, canopy transects, crown volume, ...)
  - Density information from LiDAR + spectral information from satellites

# Spatial resolution and scale

## What is the optimal spatial unit to obtain species information?

Challenges of object-based approaches (single tree and stand-level):

- The quality of the results largely depends on the delineation success
- Classifications on stand-level-objects have to consider that differing forest densities may lead to very distinct reflectance signals for the identical species composition

# Spatial resolution and scale

- ▶ An argument for small pixel sizes is that the increased spectral variability can be methodically addressed by applying object-based approaches.
- ▶ The distribution of spectral signatures of the pixels within a crown object could vary amongst species and therefore contain relevant information.
- ▶ Optimal spatial resolution will also depend on the applied methods and the forest types under investigation.

# Spectral resolution and range

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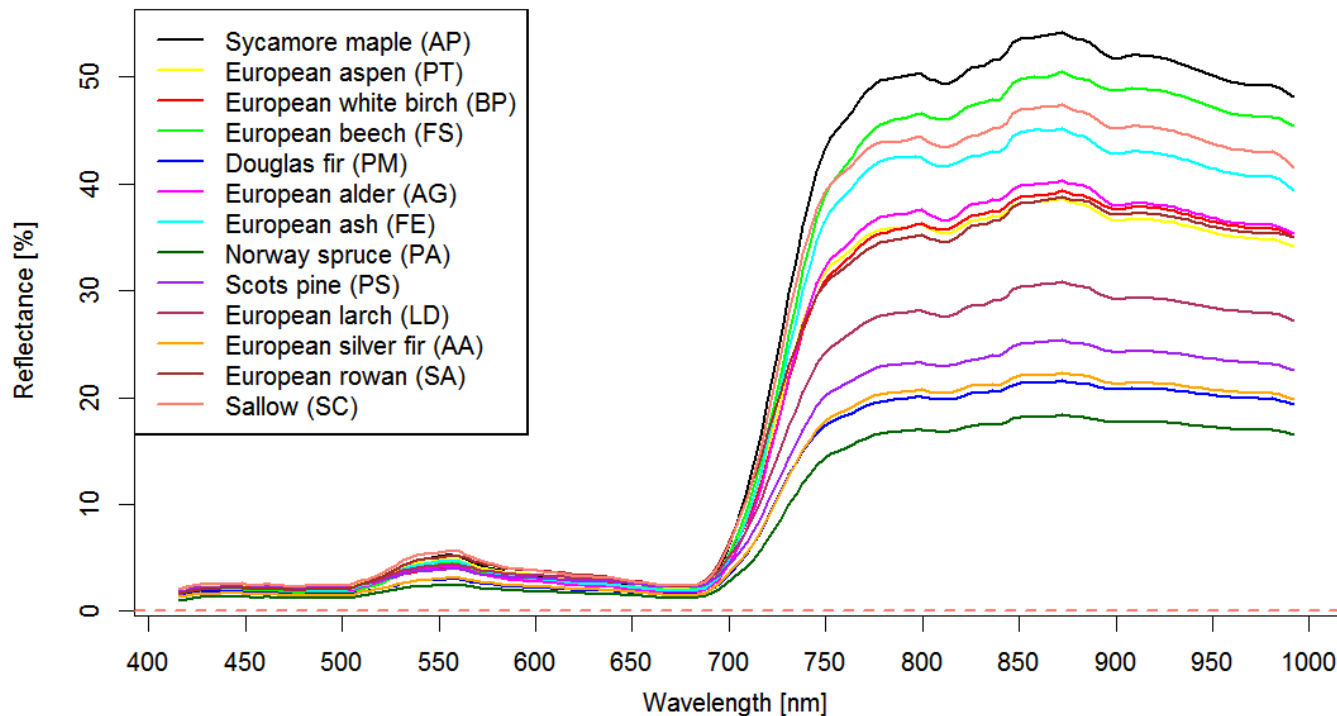
# Spectral resolution and range

- ▲ Do we need to cover the full VIS-SWIR region?
  - ▲ How narrow should the bands be?
  - ▲ How to deal with spectral resolution in an operational approach?
-

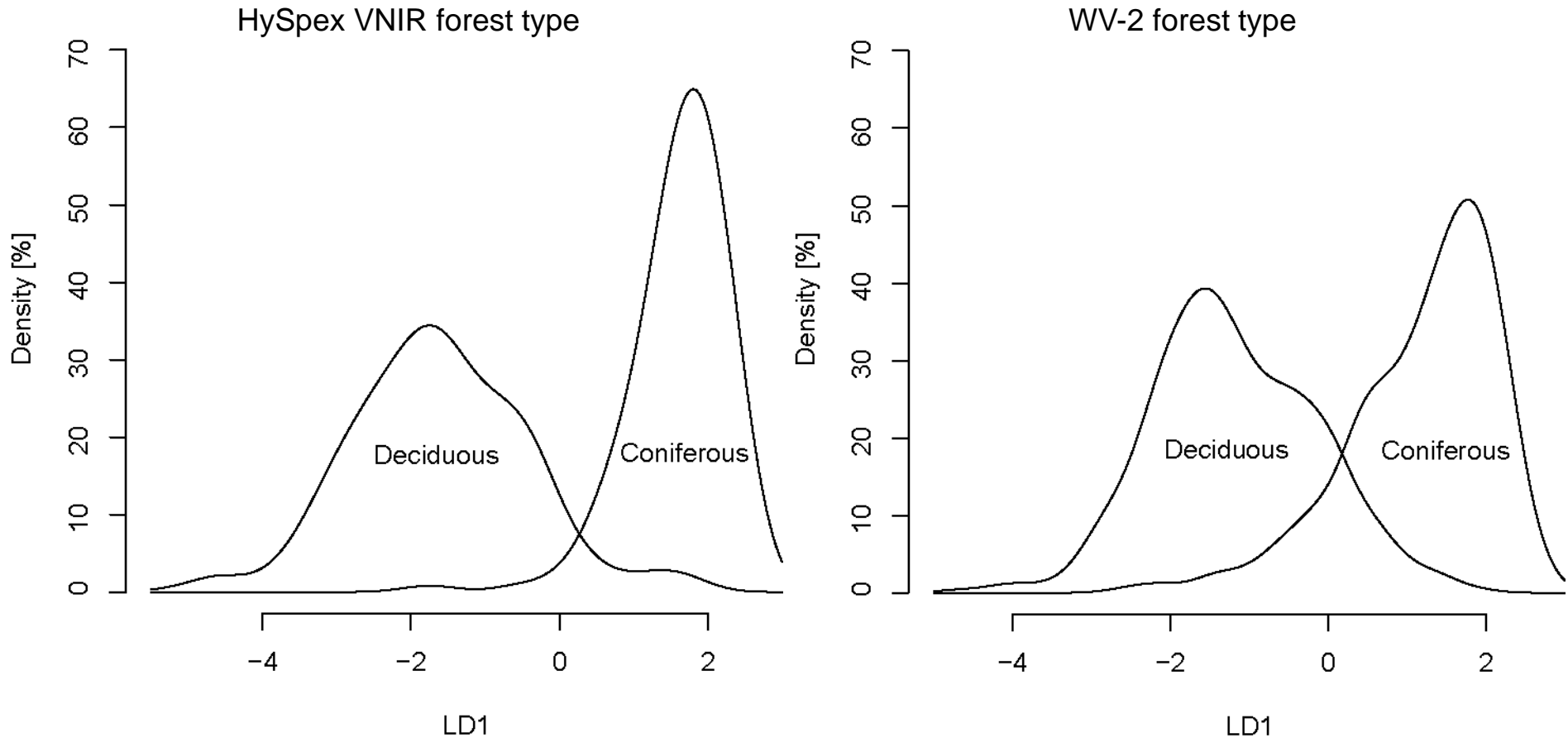
# Spectral resolution and range

Capture the complex inter- and intra-species spectral variability and the problem of spectral similarity.

Mean spectral signatures of the 13 tree species



# Spectral resolution and range





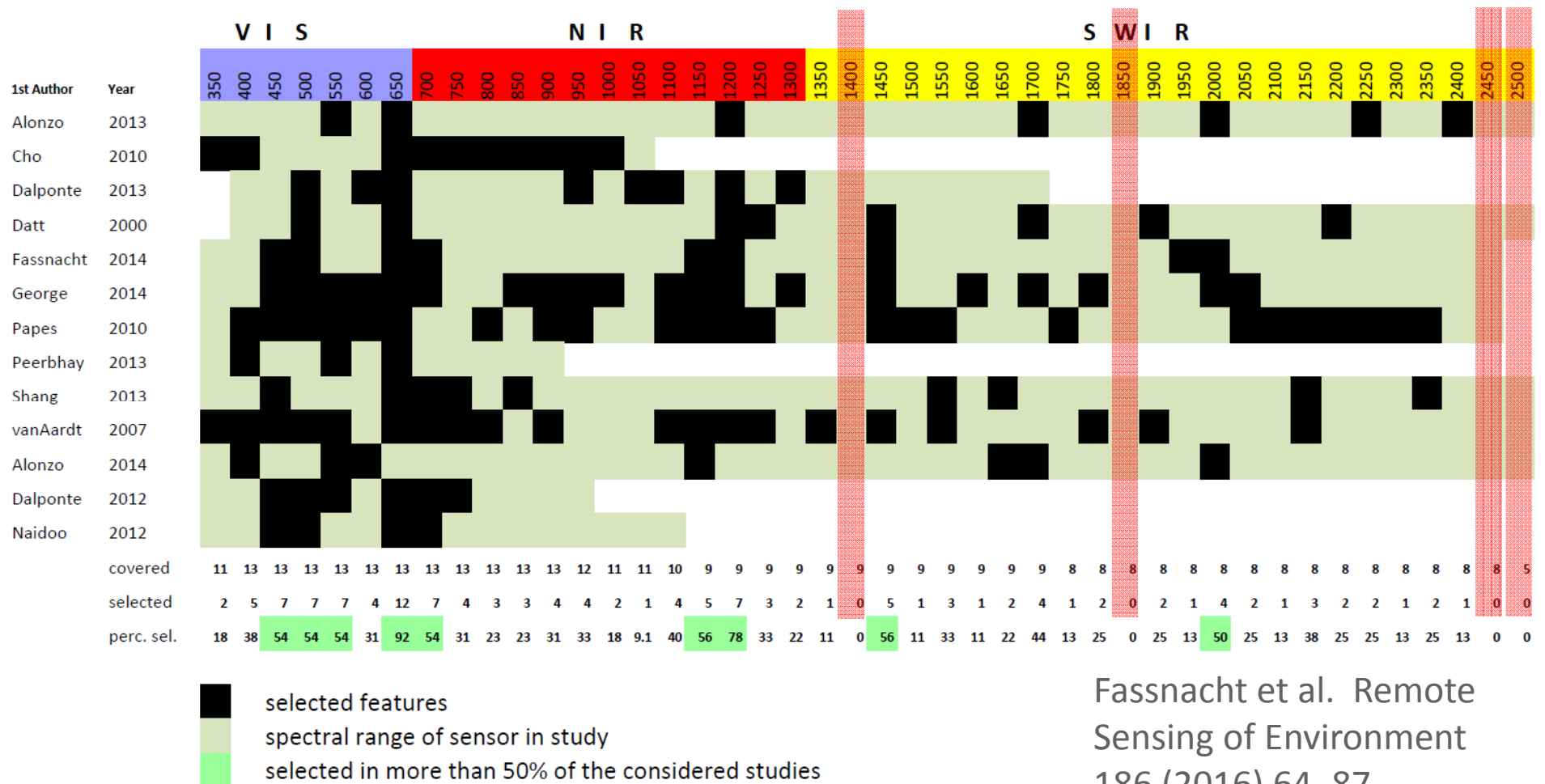
# Spectral resolution and range

## Species–related traits measured by RS

- ▲ Important wavelength regions
- ▲ Texture information
- ▲ Phenology
- ▲ Ecotypes, site condition and leaf age

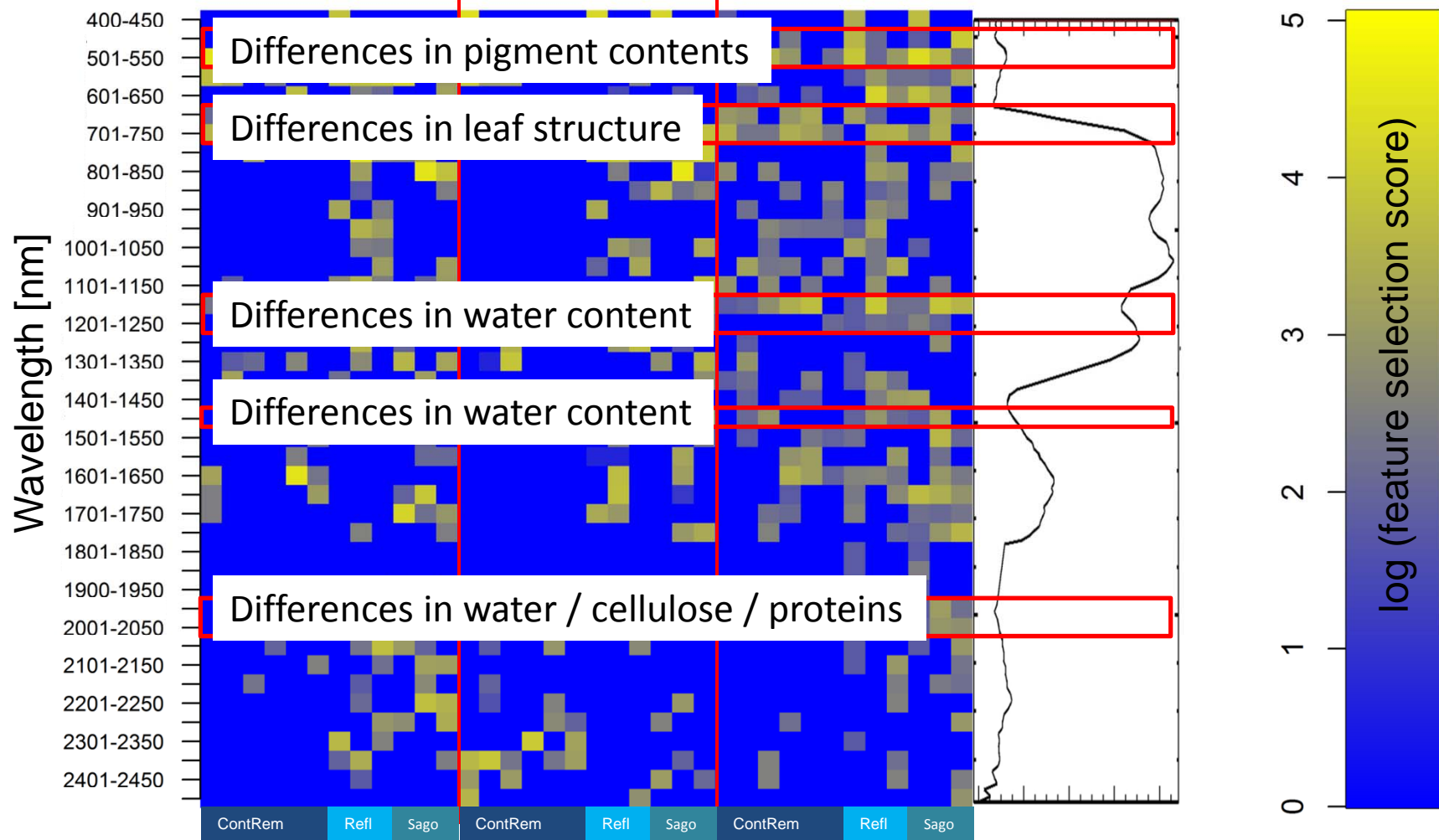
## Species related traits

## Important wavelength regions



Fassnacht et al. Remote  
Sensing of Environment  
186 (2016) 64–87

## Importance of spectral regions



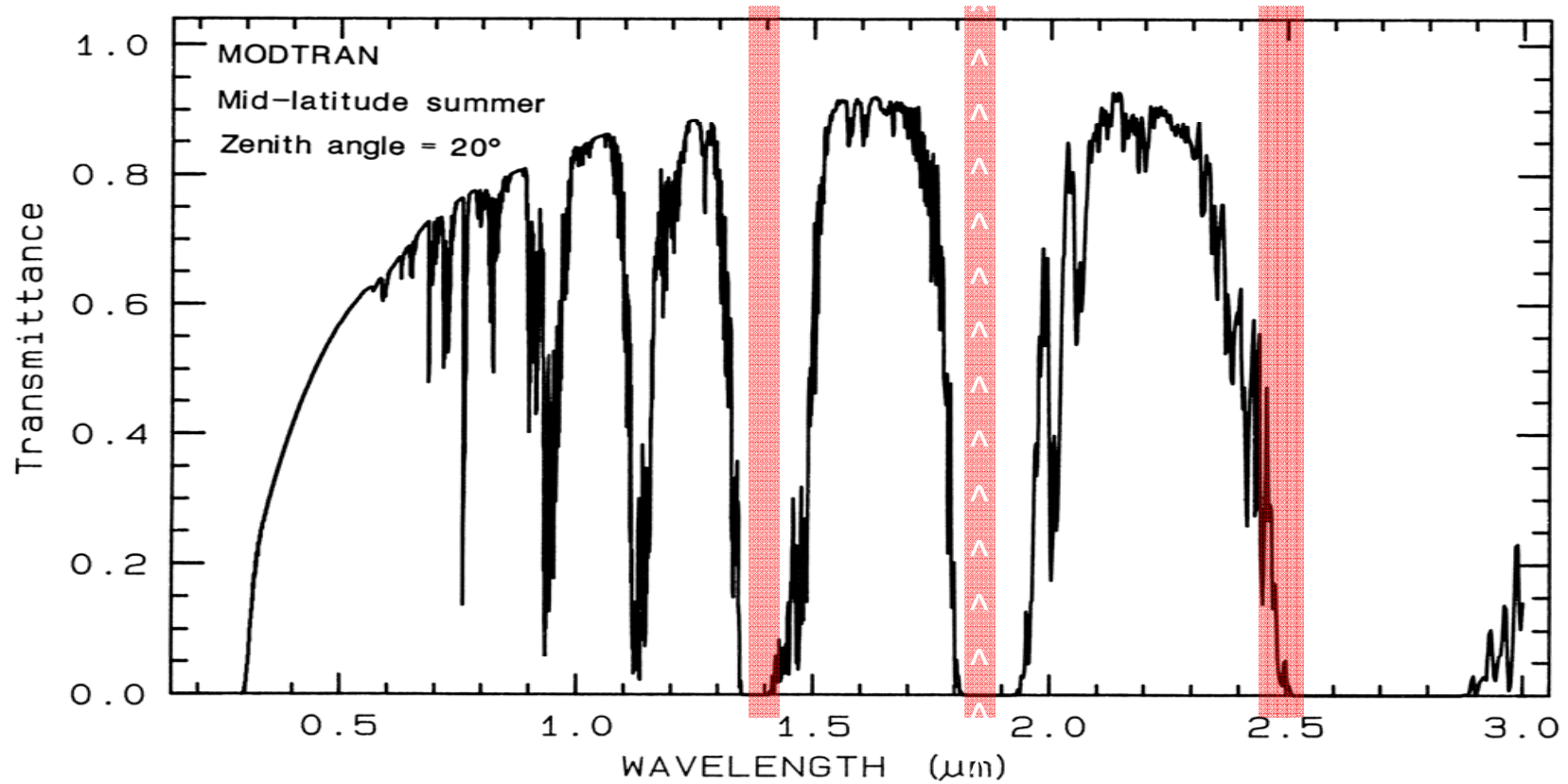
**GA**

**PLS**

**SVM wrapper**

Fassnacht, F. E. et al. (2014): Comparison of Feature Reduction Algorithms for Classifying Tree Species With Hyperspectral Data on Three Central European Test Sites. IEEE Journal of Selected Topics in Applied Earth Observations and Remote Sensing (J-STARS) 7(6), pp. 2547–2561.

# Species related traits



<http://speclab.cr.usgs.gov/PAPERS.refl-mrs/giff/300dpi/fig3a3.gif>

# Species related traits

## Crown Texture

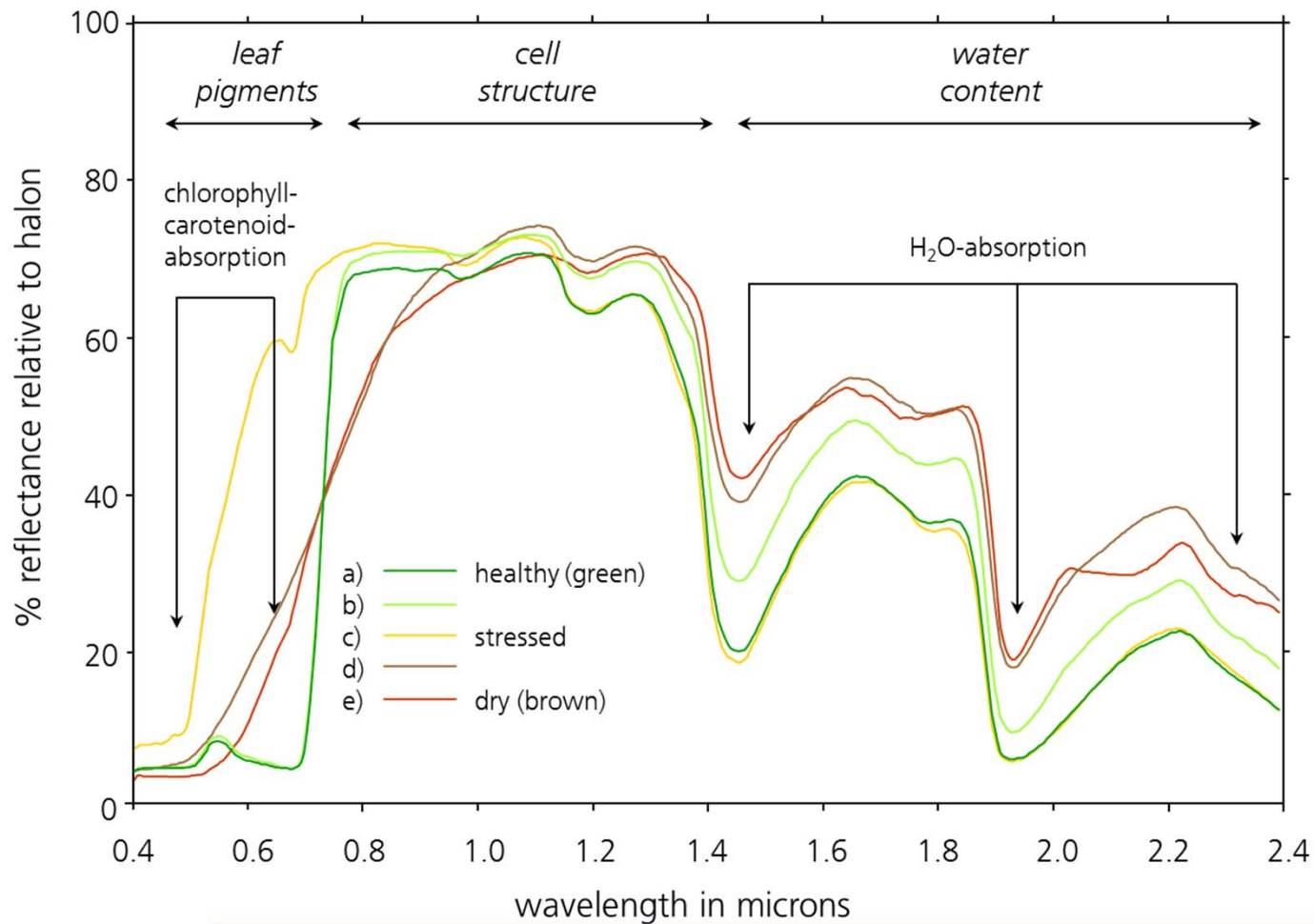
- Mainly related to crown-internal shadows, foliage properties (size, density, reflectivity) and branching
- On coarser scales, crown size, crown closure, crown shape, stand density and forest type (broadleaved, coniferous) are the main driver for texture in passive optical imagery.
- Owing to the multiscale perspective of texture, the optimum window size varies for example with the crown diameter of a specific tree.

# Species related traits

## Phenology

- Coloring of leaves due to senescence (faster decomposition of chlorophyll pigments in comparison to Anthocyanins and Carotenoids)
  - Green colours of fresh leaves and needles (flowering events)
  - Species specific knowledge is preferable over forest phenology
  - Image acquisition aligned with phenological cycle is desirable
-

# Spectral resolution and range



# Species related traits

## Ecotypes, site condition, leaf age

- Reflectance differences between the same species at different locations
- Mostly related to variable site conditions (at larger geographic extents)





# Species related traits

## LiDAR

- ▲ Mainly structure information
- ▲ Architecture of crowns, branching, and foliage
- ▲ The intensity of backscattered signal is connected to foliage type, leaf type, leaf orientation, leaf dumping and foliage density

## Mid-infrared and thermal-infrared sensors

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# Spectral resolution and range

▲ Do we need to cover the full VIS-SWIR region?

▲ Based on the studies so far: Yes!

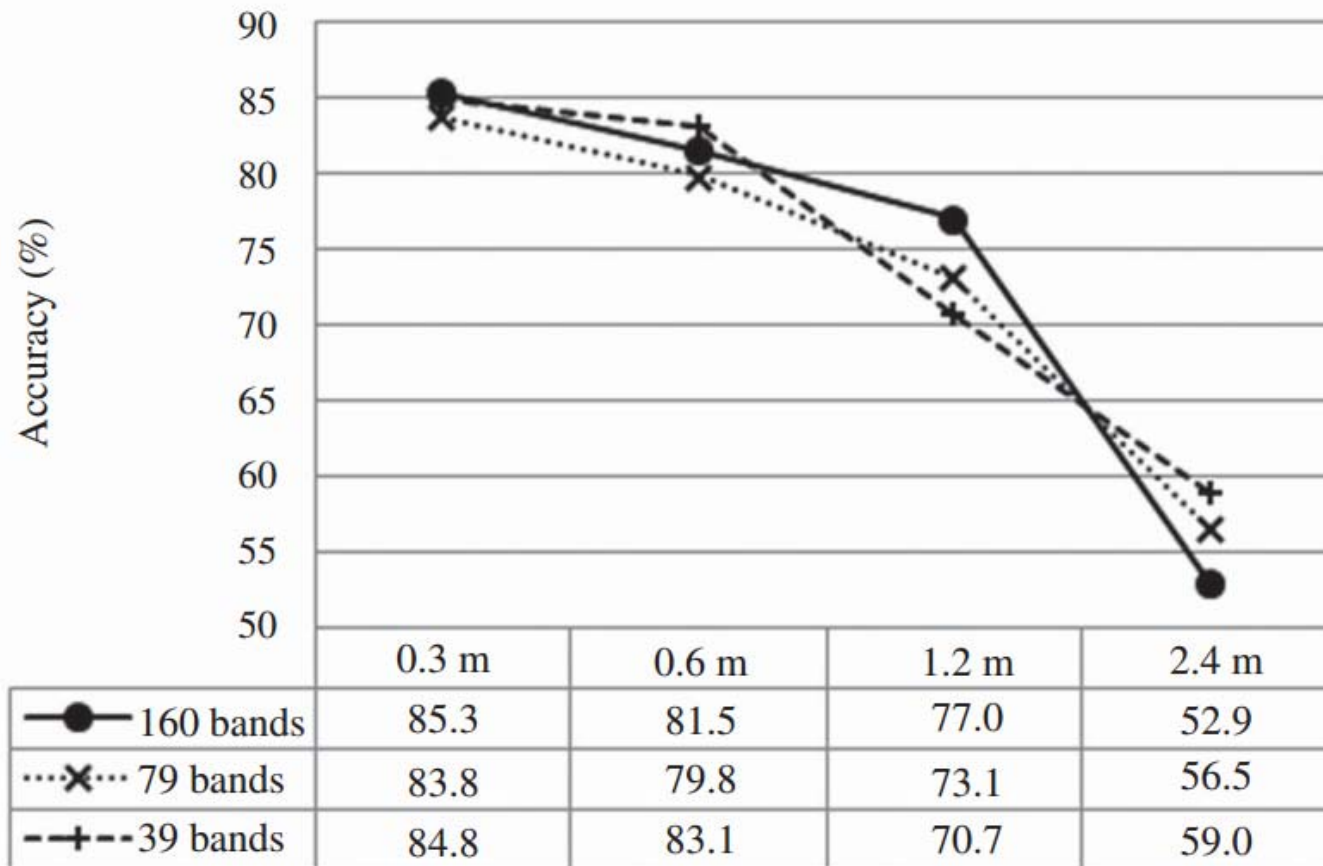
▲ But: some regions are more important than others

➔ optimize processing speed?

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# Spectral resolution and range

- ▲ How narrow should the bands be?
- ▲ Question is connected to processing speed (number of predictors)
- ▲ Radiometric noise vs. ability to capture subtle absorption features
- ▲ Hardly any systematic investigation available so far



Results for SAM classifier applied to noise-reduced image (MNF)

Pena, M.A., Cruz, P. & Roig, M. (2014). The effect of spectral and spatial degradation of hyperspectral imagery for the Sclerophyll tree species classification. *Int. J. of Rem. Sens.*, 34(20), 7113-7130.

# Spectral resolution and range

- ▲ How narrow should the bands be?
  - ▲ “Gut feeling / hypothesis”:
  - ▲ A sensor with 100-150 narrow bands (VIS-SWIR) should do the job
  - ▲ Having very narrow 400 bands won't add a lot of useful information in a classification problem (co-linearity)
-

# Methods for tree species classification

## ▲ Reference data

- ▲ Considered classes have to match the research question
- ▲ The data should be representative for the site of investigation
- ▲ The spatial scale should match the problem under investigation
- ▲ The data should acknowledge the underlying assumption of applied methodology ( e.g. minimum number of samples per class etc.)
- ▲ Observation errors should be known and their impact on the results should be discussed
- ▲ Samples should be spatially independent

# Methods for tree species classification

## ▲ Calibration and validation

- ▲ Simple data splitting (70% of training, 30% of validation)
- ▲ X-fold cross validation (samples are randomly split into x parts (folds) of equal sample size)
- ▲ Bootstrap – resampling (n -reference samples get sampled n times with replacement (out of bag validation of random forest (RF))
- ▲ Recommendation iterative data splitting approach and an additional completely independent test set as a gold standard for tree species classification studies.

# Methods for tree species classification

## ▲ Feature reduction

- ▲ Feature extraction methods (MNF, PCA, SVM) selects a subset of the original predictor variables )
- ▲ Feature selection methods (Stepwise procedures, RF, GA) calculates new predictor variables that typically summarize the content of several original predictors)



# Methods for tree species classification

## ▲ Classification algorithm

- ▲ Non-parametric machine learning methods (RF, SVM), using mixed sets of input variables (spectral, texture, geometric, indices)

# Methods for tree species classification

Classification approach	Advantage	Disadvantage
Discriminant Analysis (linear, quadratical, canonical, stepwise, regularized, penalized)	LDA does not require the tuning of parameters Accepts multiple input variables. Easier interpretation of Between-class differences	Assumes Gaussian distribution of training data Classical discriminant analyses are less sensitive to ill-posed problems and outliers. Noisy results in complex landscapes. Limited ability to deal with multi-collinearity
Maximum Likelihood	Consistent approach for a variety of estimation Problems Approx. unbiased in presence of larger sample sizes. Many software implementations.	Assumes Gaussian distribution of training data Biased for small samples . Sensitive to the number of input variables
Random Forest (RF)	No distributional assumption required Less sensitive to the number of input Variables Less sensitive to overfitting	Might overfit in presence of noisy data. Might be biased in case response classes have different number of levels
SVM	No distributional assumption required. Suitable when incorporating non-remote sensing variables into classification robust to noise and high-dimensional data fast predictions (sparse model due to support vectors). Comparably few training data needed. Possibility to easily access probability values instead of only discrete classes	Optimal design of a multi-class SVM is demanding Comparatively high computational cost (algorithmic complexity) for training Selection of kernel function parameters
Neural Networks	Able to extract patterns and identify trends from pool of data Implemented by many software packages Suitable to deal with classification problems which are hardly mathematically definable	Difficult to train, since the results are ultimately dependent on the initial parameters Black box-like setup

# Methods for tree species classification

- ⬆ Atmospheric correction
- ⬆ Anisotropy effects: brightness of an observed object depends on the view illumination geometry (BRDF)
- ⬆ Data fusion

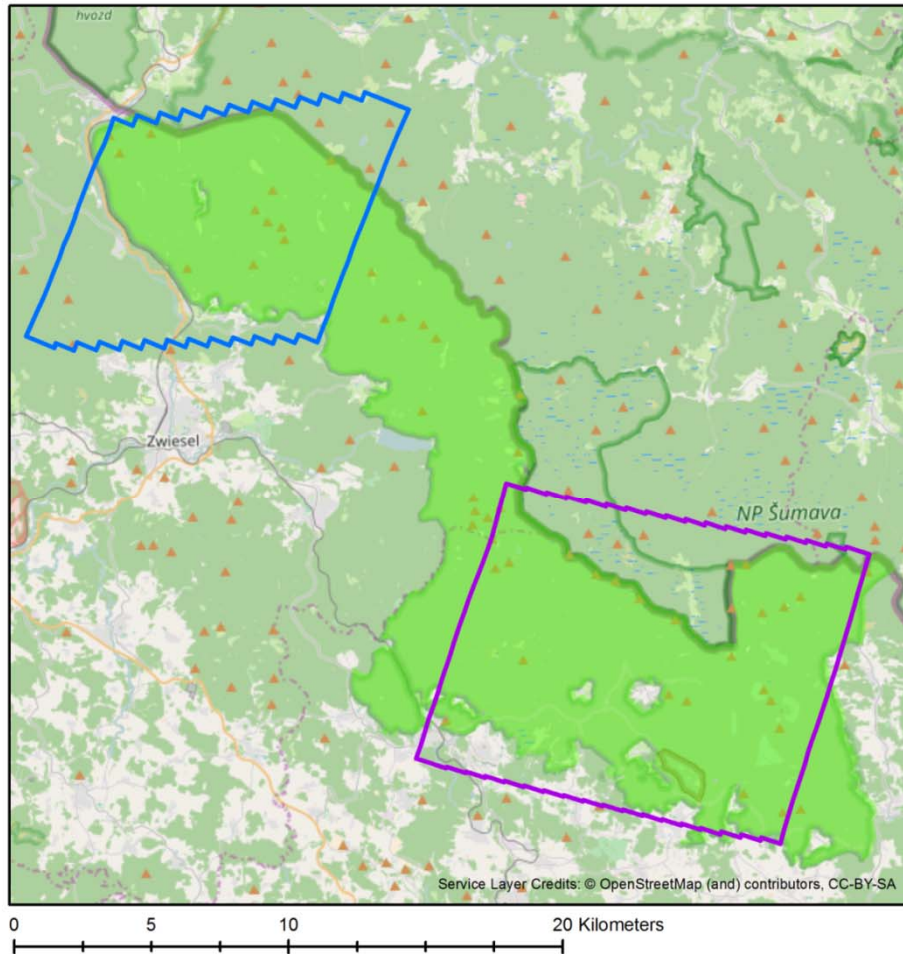
# Case Study

## Bavarian Forest National Park

- ▲ First National Park in Germany
  - Founded: 1970
  - Enlarged: 1997
- ▲ Currently: 24.369 ha
- ▲ 22 tree species



# Bavarian Forest National Park



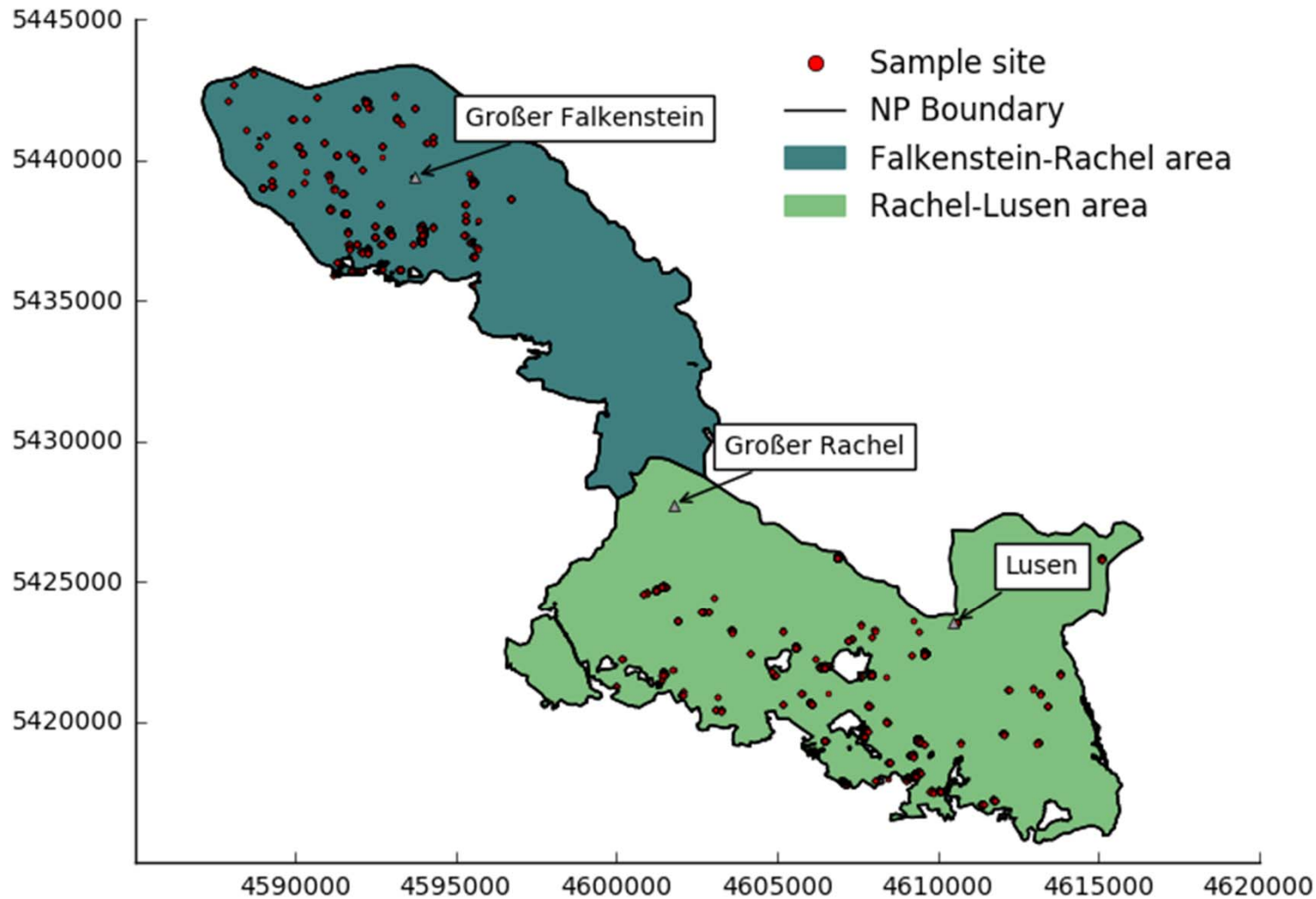
## Legend

- HySpex2013 North
- HySpex2013 South
- Nationalpark Bavarian Forest



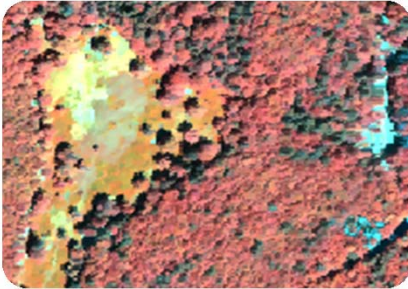
Data acquisition 22. & 27.7.2013  
1.6m / 3.2m pixel resolution

# Bavarian Forest National Park

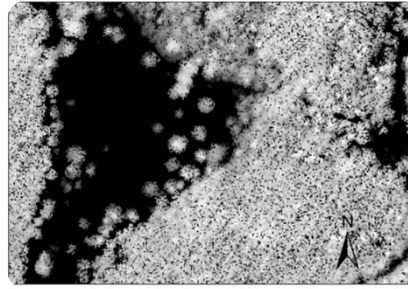




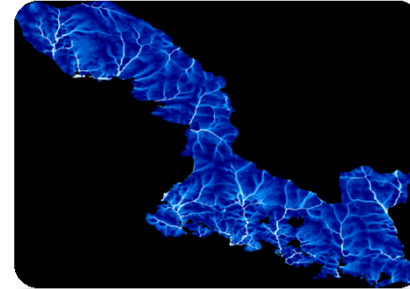
# Species Related Feature Extraction



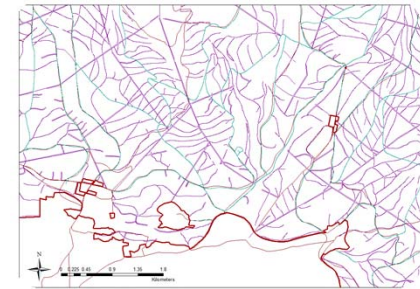
- Spectral information
- Vegetation indices
- EBVs



- Tree height
- Illumination condition
- Site characteristics
- Elevation
- Deciduous
- Coniferous



- Soil moisture



- Habitat type

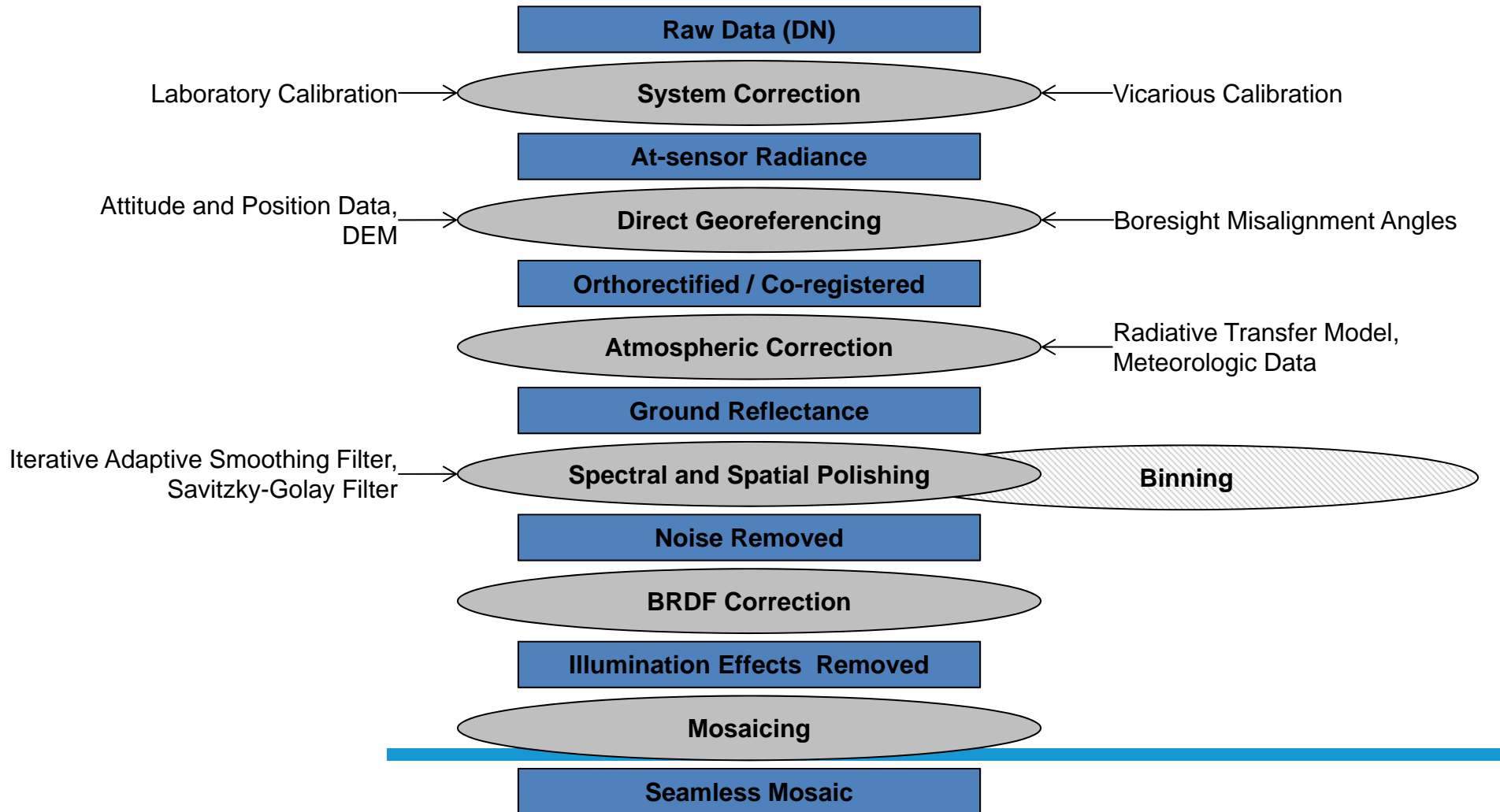
Classification of tree species on the basis of different features derived from remote sensing data and available site specific information



Which spectral/spatial features and data combinations generate the best results within a classification modelling approach?

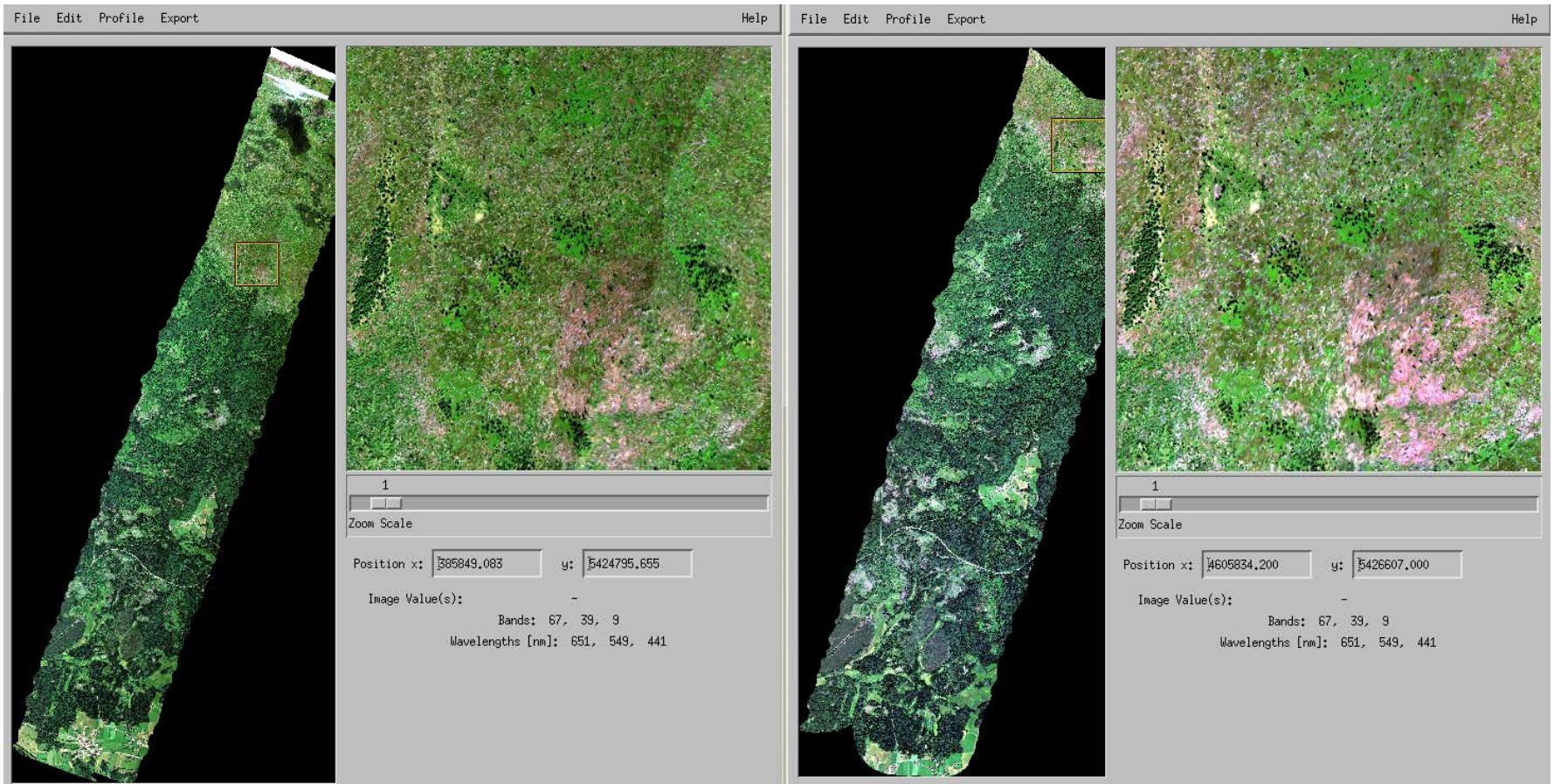
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# Preprocessing Steps of Hyperspectral Data

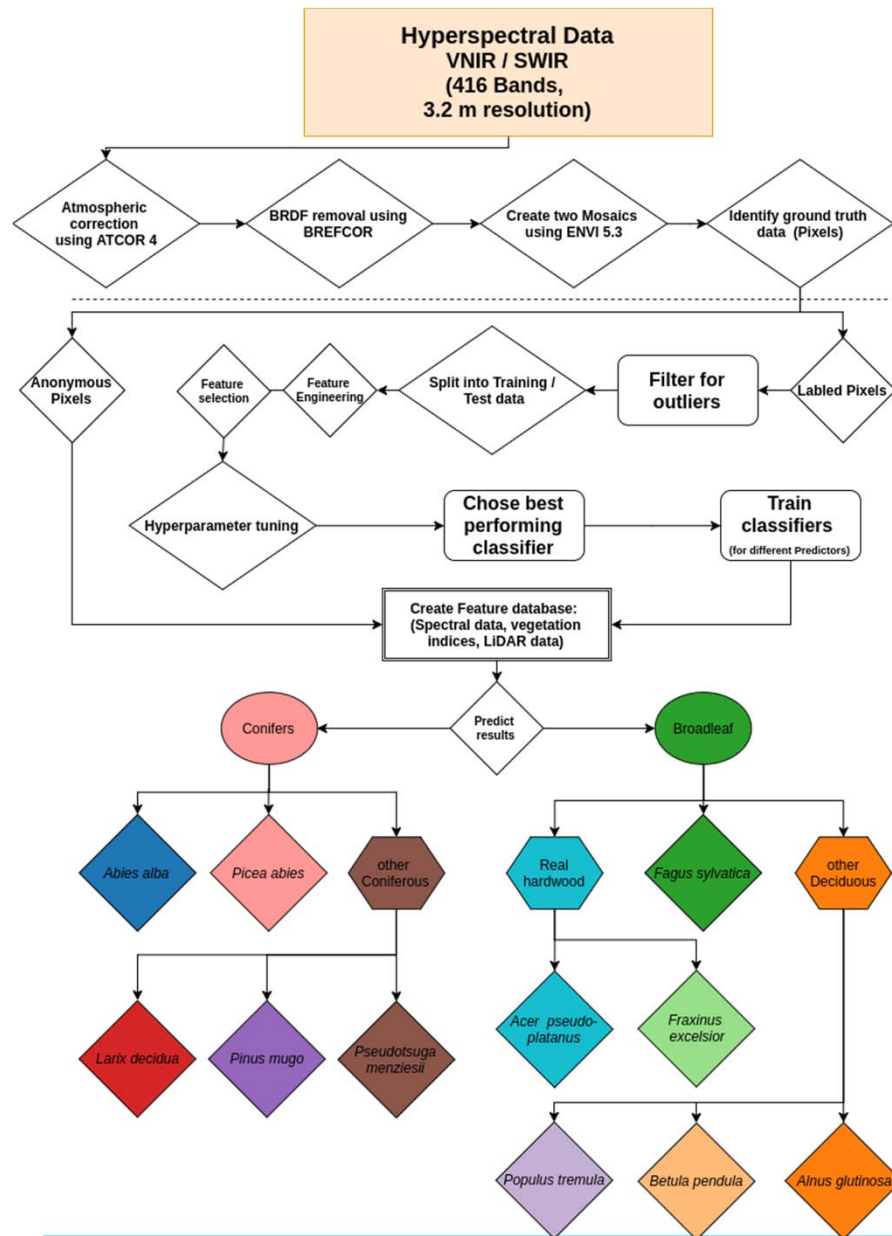


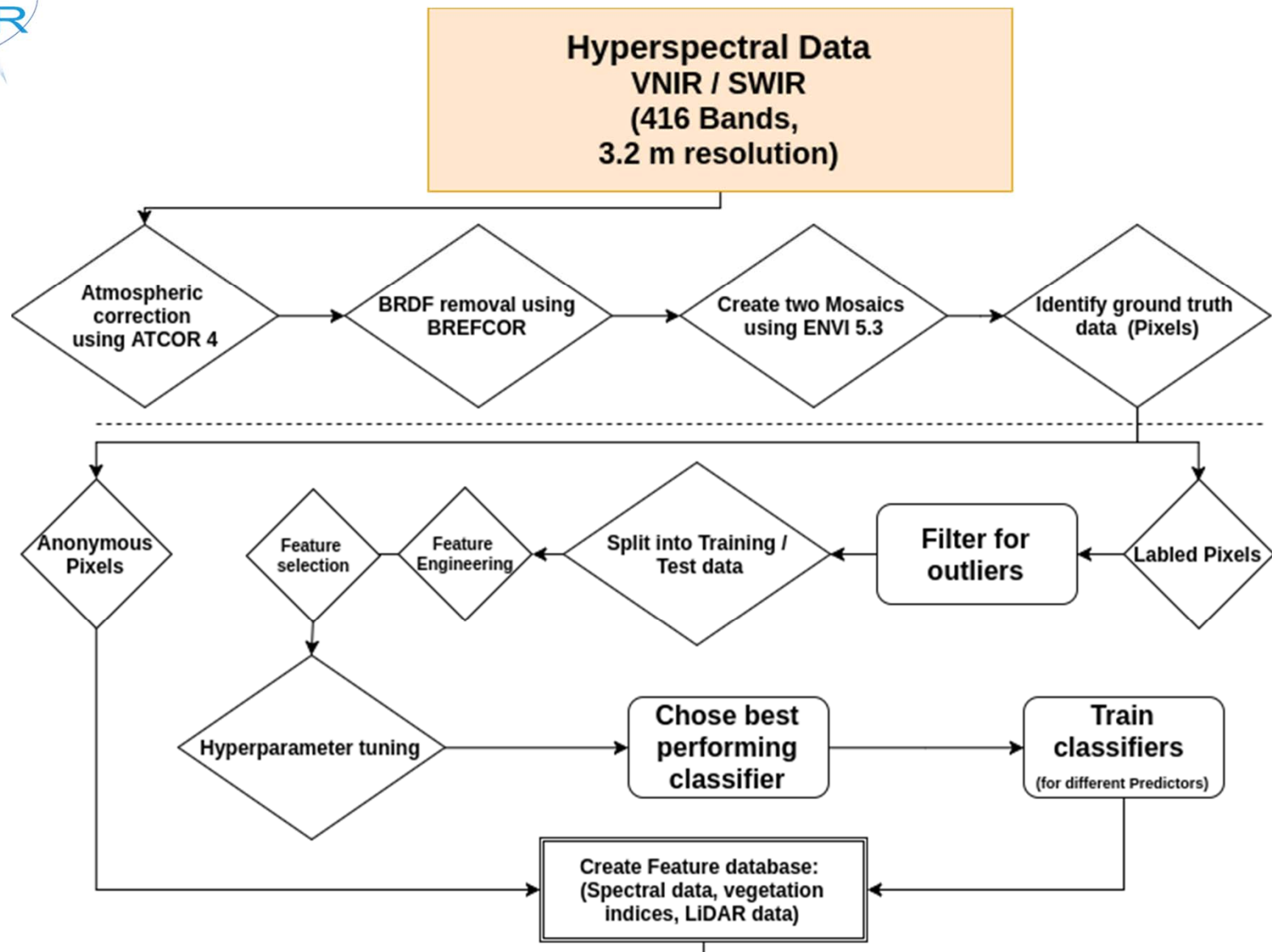


# BRDF Correction

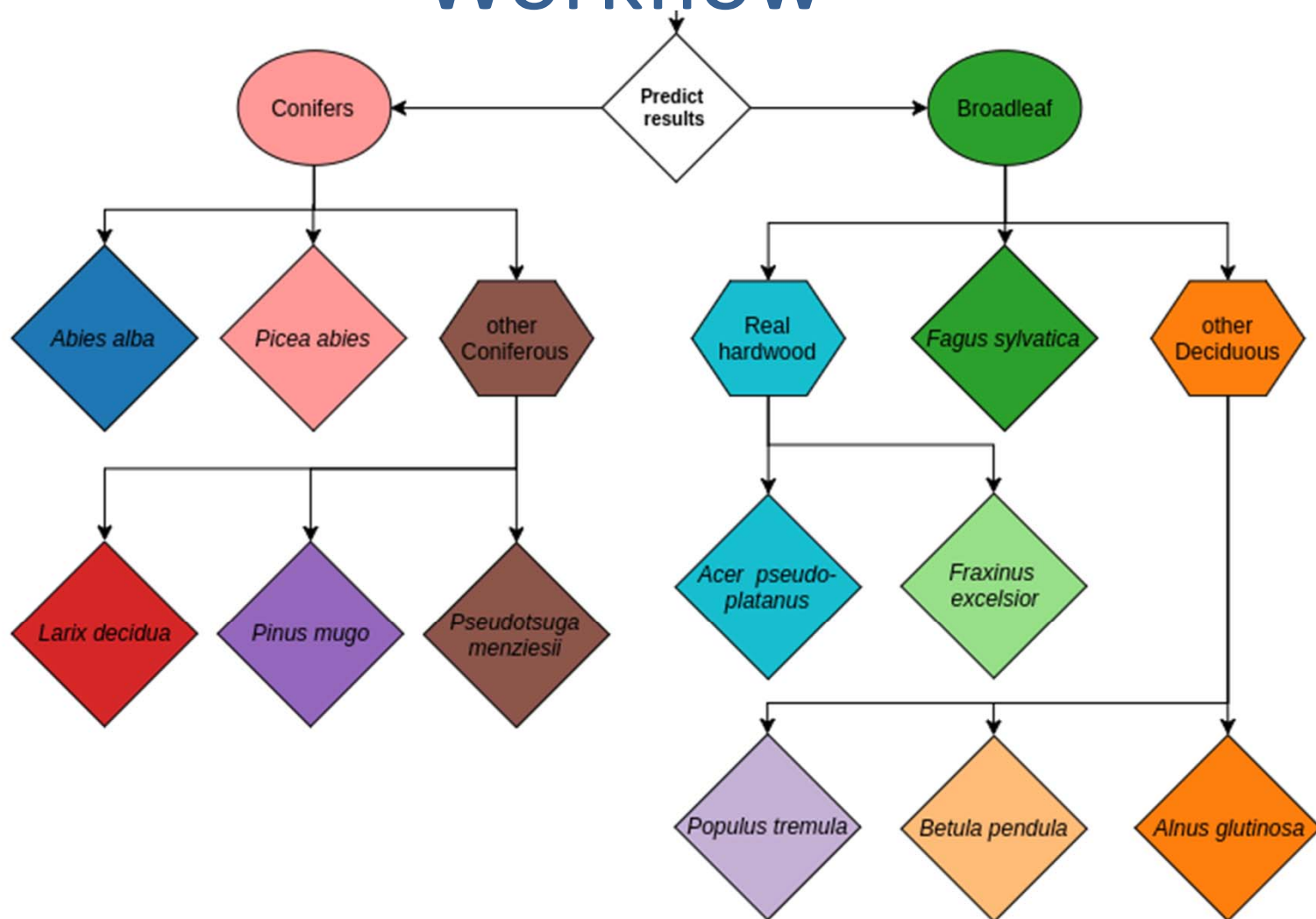


BRDF effects correction method (BREFCOR – ATCOR4) for an unsupervised, model based BRDF correction (surface-cover-dependent) of airborne wide FOV scanner data





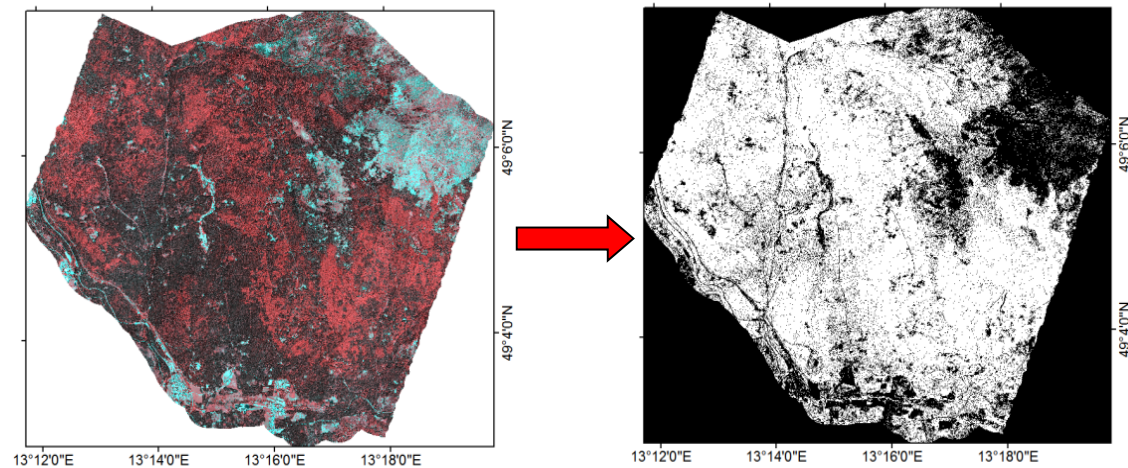
# Workflow





# Forest / Tree Mask

- ✓ Ensures, that only trees are classified
  - ✓ Prevents misclassification between trees and other vegetation
1. Discriminate between vegetation ( $\text{NDVI} \geq 0.4$ ) and non-vegetation ( $\text{NDVI} < 0.4$ )
  2. Eliminate Forest gaps and low canopy heights  
(LiDAR derived tree heights  $< 1.5\text{m}$ )



# In-situ Data

Set-up of training and validation data → reference data set

Depending on geometric resolution of remote sensing data:

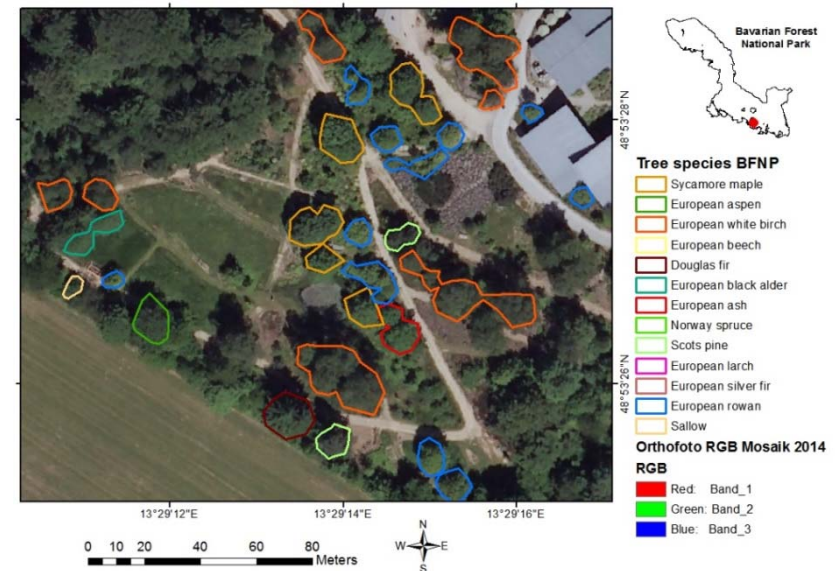
Single trees → crown

Plots of trees → cluster of crowns / stands

Minimum number of samples

$> 10 \cdot n$  pixels (desirably  $100 \cdot n$  pixels)  
where  $n$  = number of variables used  
to extract classes

Imbalanced training data set  
→ down-sampling approach



Reference data set should cover all possible feature specific variations  
of the occurring tree species



# Vegetation Indices

$$\text{Photochemical Reflectance Index } PRI = \frac{\lambda_{531nm} - \lambda_{570nm}}{\lambda_{531nm} + \lambda_{570nm}}$$

→ e.g. vegetation productivity

$$\text{Red Edge NDVI } RENDVI = \frac{\lambda_{750nm} - \lambda_{705nm}}{\lambda_{750nm} + \lambda_{705nm}}$$

→ e.g. general vegetation health

$$\text{Red Edge Inflection Point } REIP = 700 + 40 \cdot \left[ \frac{\left( \frac{\lambda_{670nm} + \lambda_{780nm}}{2} - \lambda_{700nm} \right)}{(\lambda_{740nm} - \lambda_{700nm})} \right]$$

→ e.g. chlorophyll content

$$\text{Simple Ratio } SR = \frac{NIR}{RED}$$

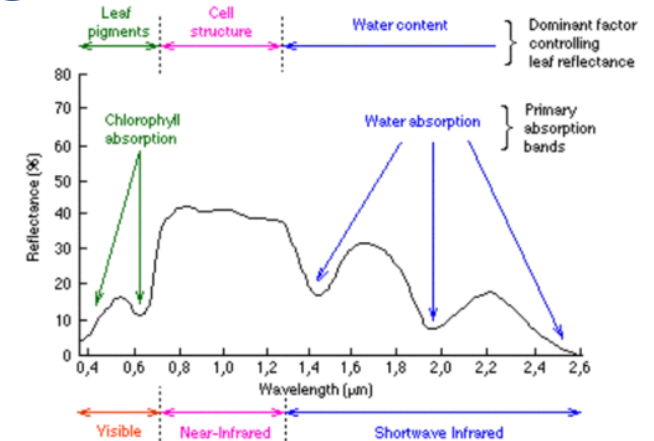
→ e.g. estimation of over-story LAI

$$\text{Normalized Difference Infrared Index } NDII = \frac{\lambda_{819nm} - \lambda_{1649nm}}{\lambda_{819nm} + \lambda_{1649nm}}$$

→ e.g. plant water content

$$\text{Normalized Difference Lignin Index } NDLI = \frac{\left( \log \frac{1}{\lambda_{1754nm}} \right) - \left( \log \frac{1}{\lambda_{1680nm}} \right)}{\left( \log \frac{1}{\lambda_{1754nm}} \right) + \left( \log \frac{1}{\lambda_{1680nm}} \right)}$$

→ Lignin content



# Structural and Topographic Features

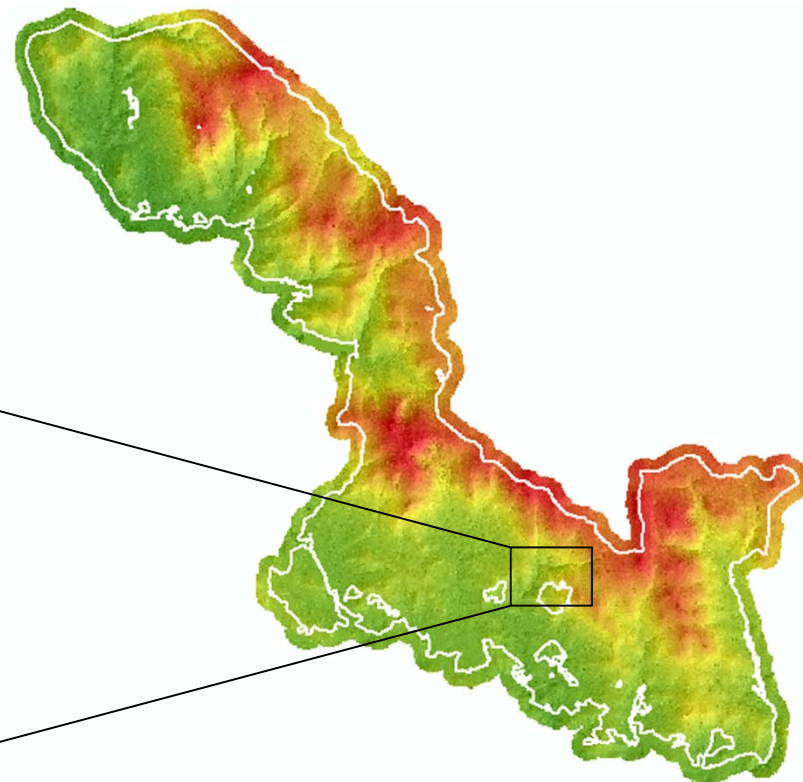
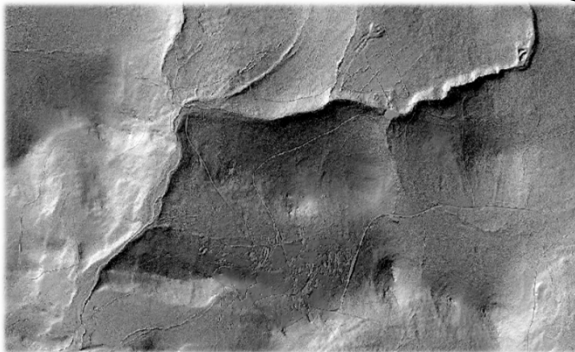
→ Tree height (DSM – DEM)

→ Terrain height (DEM)

→ Slope

→ Aspect

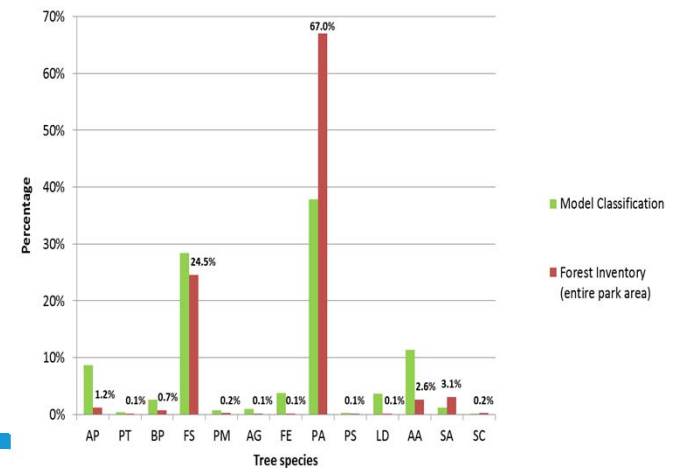
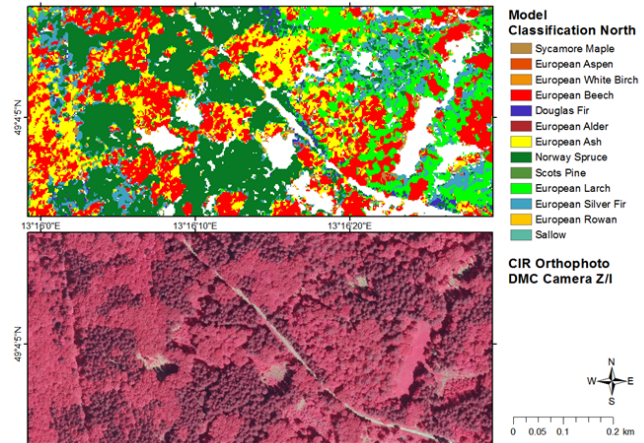
→ Shaded Relief





# Validation Approach

- Evaluation of classification accuracy
- Test data set  
(statistical evaluation – confusion matrix)
- Visual interpretation
- Forest inventory
- Field survey



# Accuracy assessment

Evaluation based on Cohen's kappa and F-Scores

$$\text{Kappa: } \kappa = (p_o - p_e) / (1 - p_e)$$

$p_o$  is the observed agreement ratio, and  
 $p_e$  is the expected agreement.

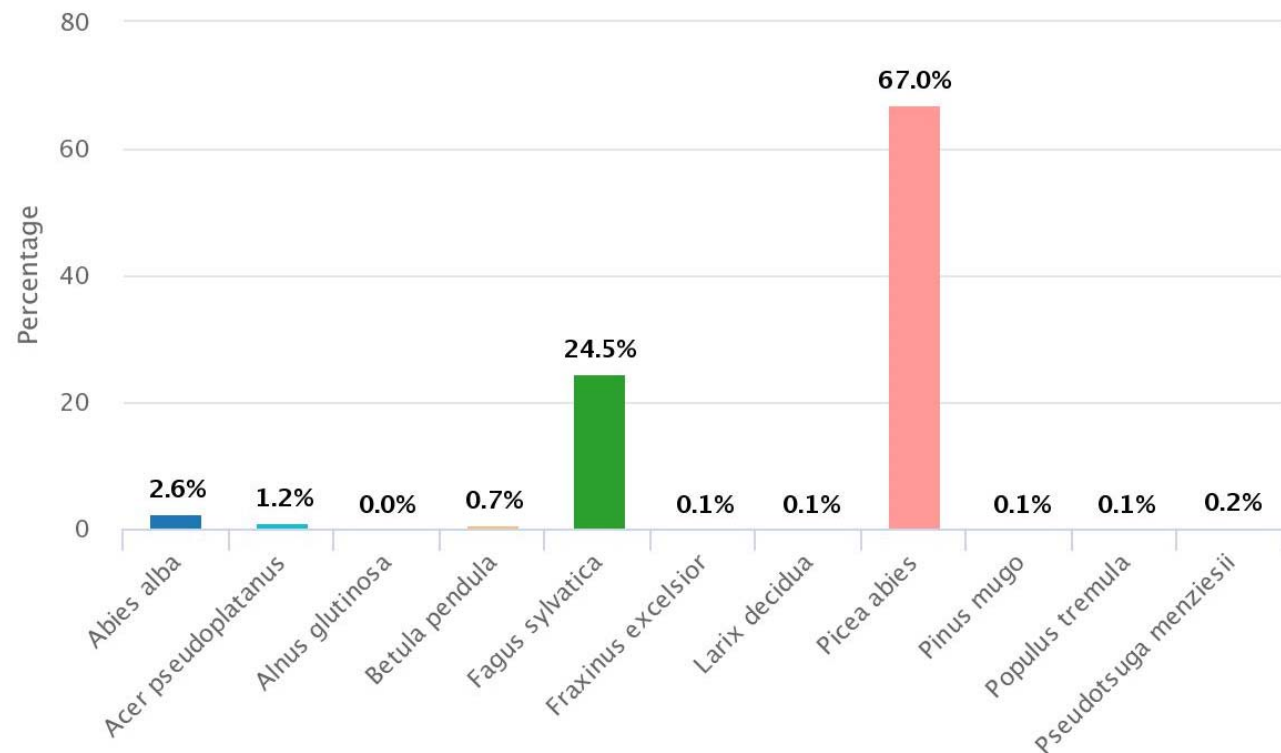
$$\text{F1 score: } F1 = 2 \times \frac{\text{precision} \times \text{recall}}{\text{precision} + \text{recall}}$$

$$\text{precision} = \frac{tp}{tp + fp} \quad \text{recall} = \frac{tp}{tp + fn}$$



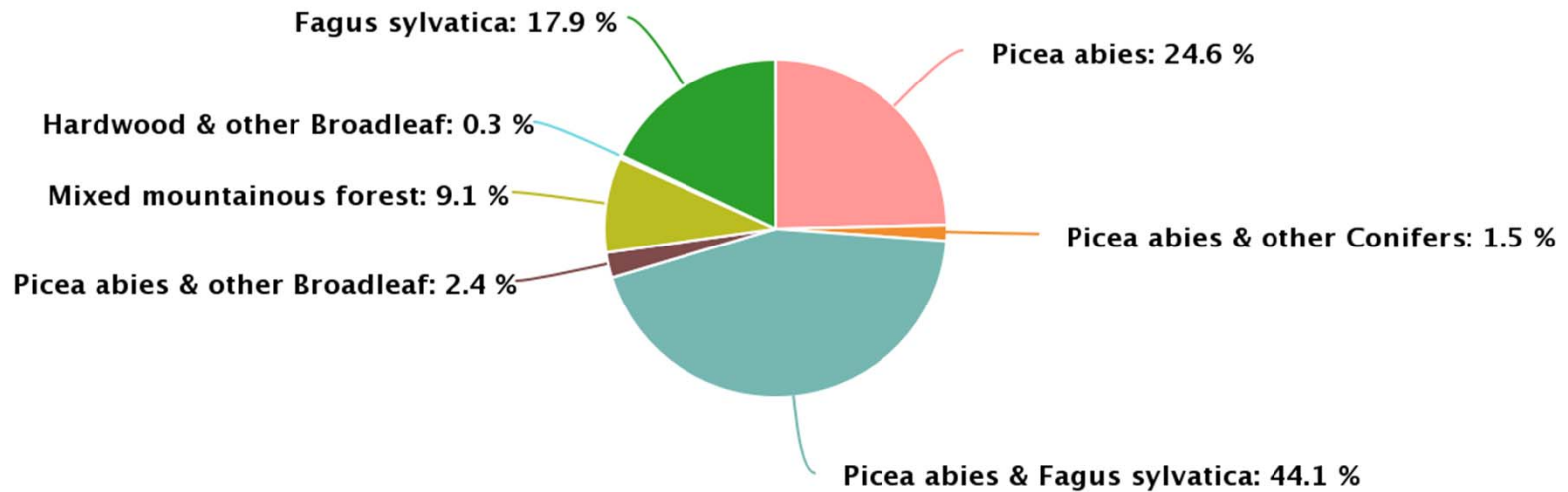
# Training Data

## Forest Inventory 2002/2003














# Training Data

## Species composition northern part



# Training Data

Species	English	Abbreviation	Pixels	Color
<i>Abies alba</i>	European silver fir	AA	543	
<i>Acer pseudoplatanus</i>	Sycamore maple	AP	371	
<i>Alnus glutinosa</i>	European alder	AG	204	
<i>Betula pendula</i>	Silver birch	BP	329	
<i>Fagus sylvatica</i>	European beech	FS	1408	
<i>Fraxinus excelsior</i>	European ash	FE	386	
<i>Larix decidua</i>	European larch	LD	346	
<i>Picea abies</i>	Norway spruce	PA	725	
<i>Pinus mugo</i>	Mountain pine	PMu	237	
<i>Populus tremula</i>	European aspen	PT	120	
<i>Pseudotsuga menziesii</i>	Douglas fir	PM	106	
Total pixel:			4775	

1/4 of this training data is held back for evaluation (Test set)

# Training Data

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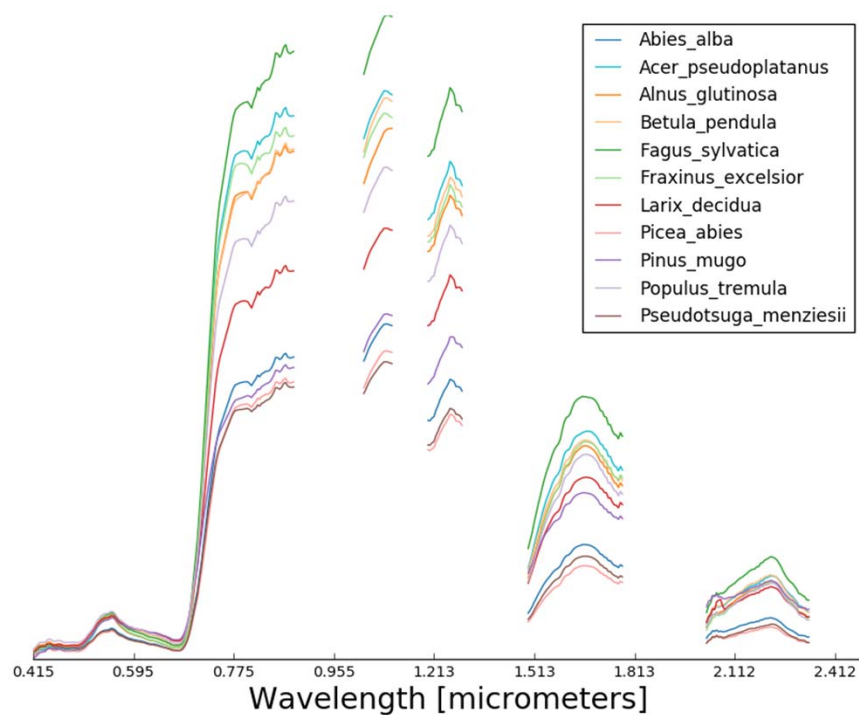
**Total pixel: 4775**

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# Training Data

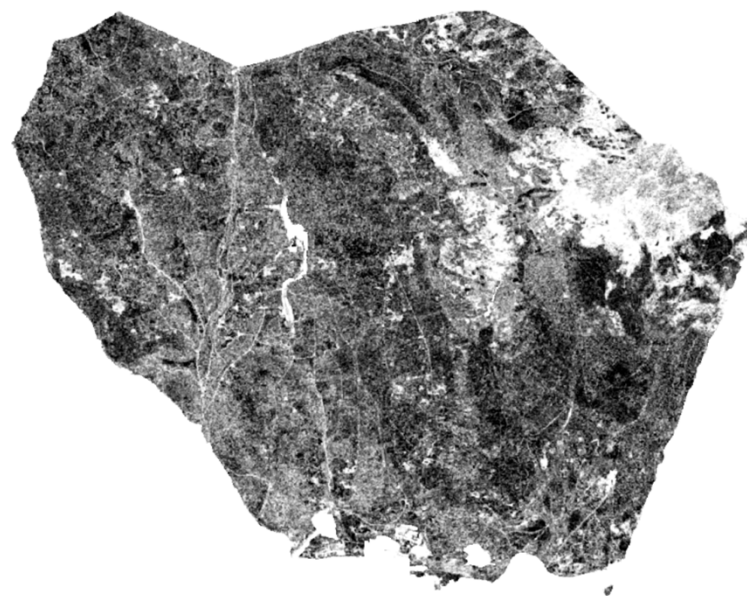
## Spectral data

VNIR	SWIR	Vegetation Indices
131 Bands	133 Bands	9 Indices



## LIDAR data

DTM	Treecount
Elevation	Stem density



# Training Data

	Spectral			LiDAR	
	VNIR	SWIR	VI	DTM	Treecount
All	X	X	X	X	X
SpecInd	X	X	X		
Spectral	X	X			
SWIR	X				
SWIRfull		X	X	X	X
VNIR	X				
VNIRfull		X	X	X	X



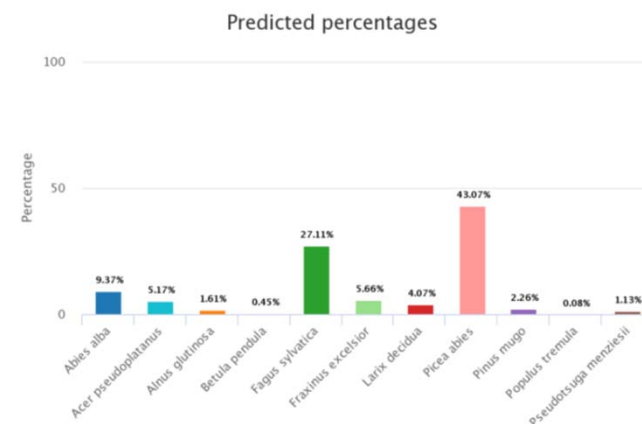
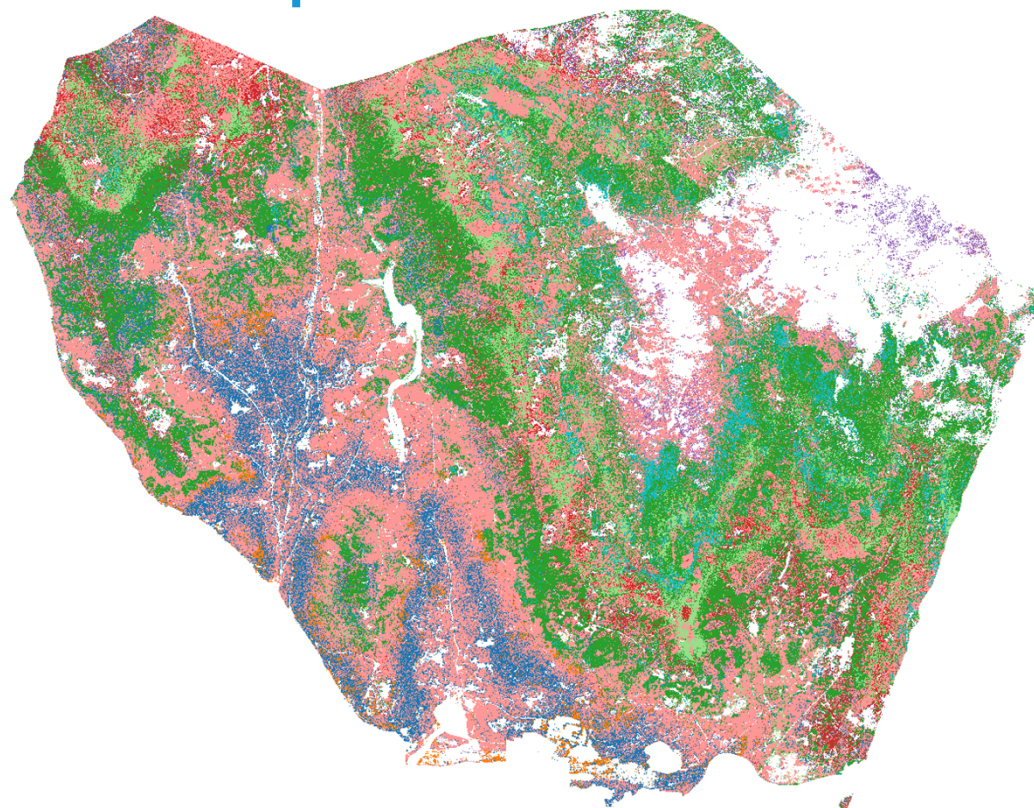
# Results

## F1-Scores

Data	DTM	Kappa	AA	AP	AG	BP	FS	FE	LD	PA	PMu	PT	PM
all	True	0.77	0.67	0.74	0.82	0.75	0.90	0.82	0.81	0.77	0.95	0.67	0.55
all	False	0.64	0.55	0.56	0.58	0.60	0.86	0.69	0.67	0.73	0.86	0.31	0.07
specind	False	0.58	0.56	0.29	0.48	0.55	0.80	0.64	0.63	0.65	0.88	0.59	0.14
spectral	False	0.55	0.46	0.24	0.47	0.36	0.77	0.64	0.59	0.69	0.92	0.36	0.08
swir	False	0.53	0.52	0.32	0.36	0.23	0.74	0.69	0.52	0.71	0.82	0.06	0.00
swirfull	True	0.80	0.77	0.74	0.85	0.81	0.88	0.88	0.85	0.83	0.96	0.74	0.45
swirfull	False	0.63	0.49	0.54	0.67	0.64	0.85	0.74	0.64	0.66	0.91	0.47	0.07
vnir	False	0.46	0.37	0.27	0.44	0.29	0.76	0.48	0.53	0.52	0.86	0.28	0.07
vnirfull	True	0.77	0.71	0.82	0.82	0.74	0.90	0.81	0.80	0.76	0.95	0.72	0.65
vnirfull	False	0.62	0.47	0.55	0.56	0.65	0.83	0.65	0.63	0.70	0.88	0.53	0.19

# Results

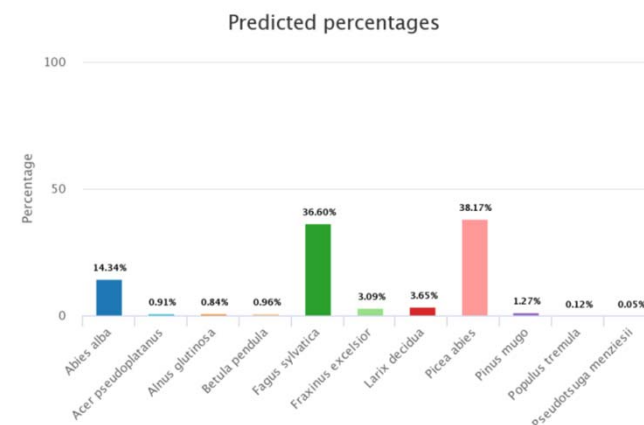
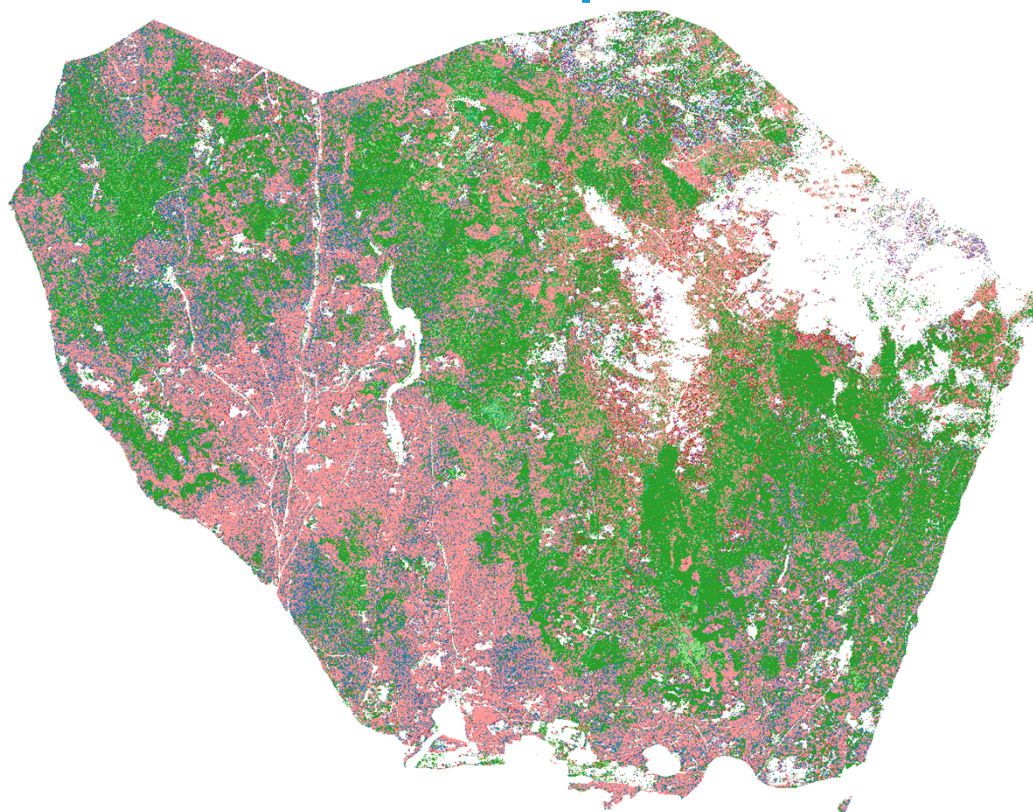
## SWIR + Spectral indices + DTM + Treecount





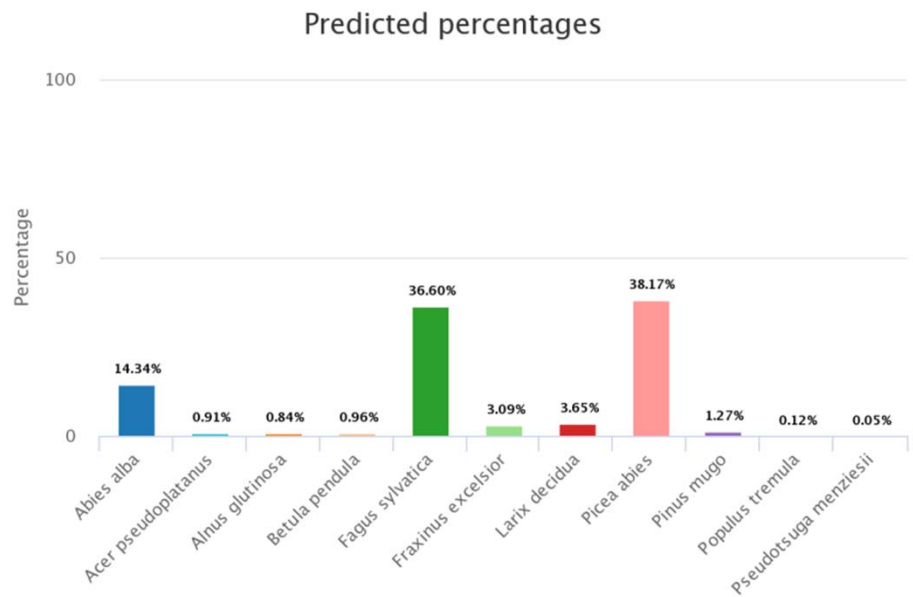
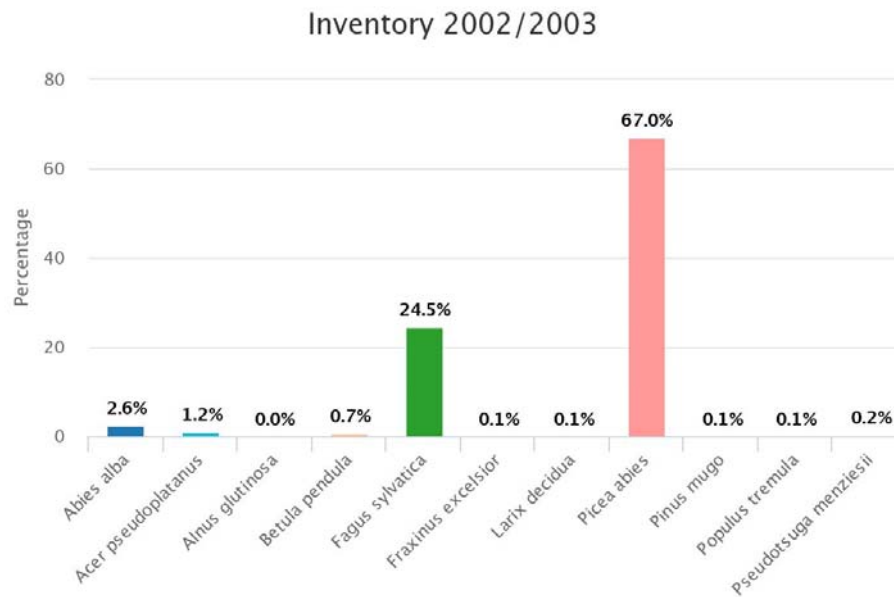
# Results

## VNIR + SWIR + Spectral indices



# Results

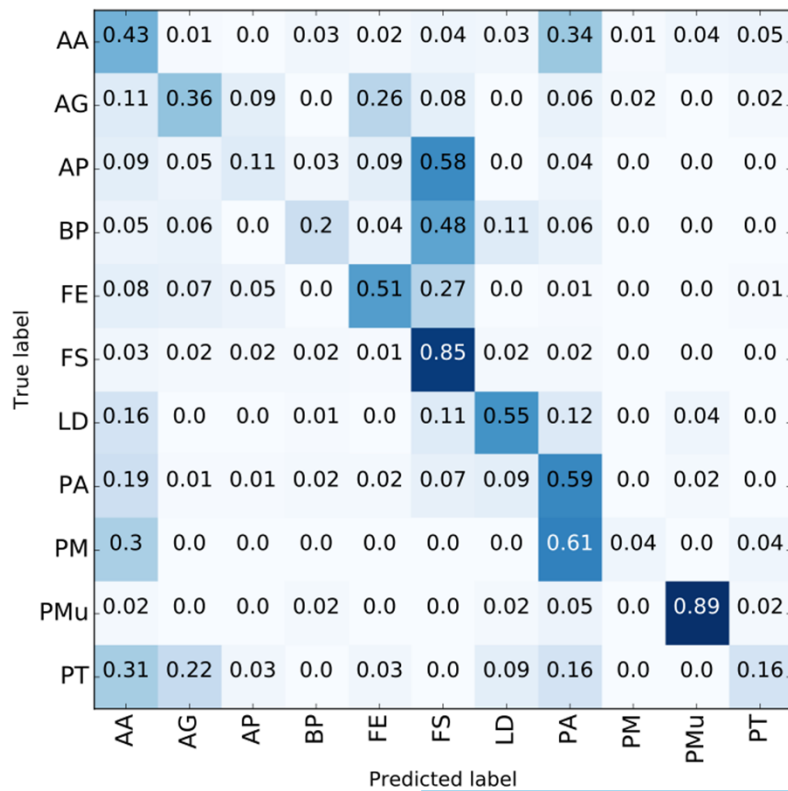
## Validation based on spatial distribution and overall percentages



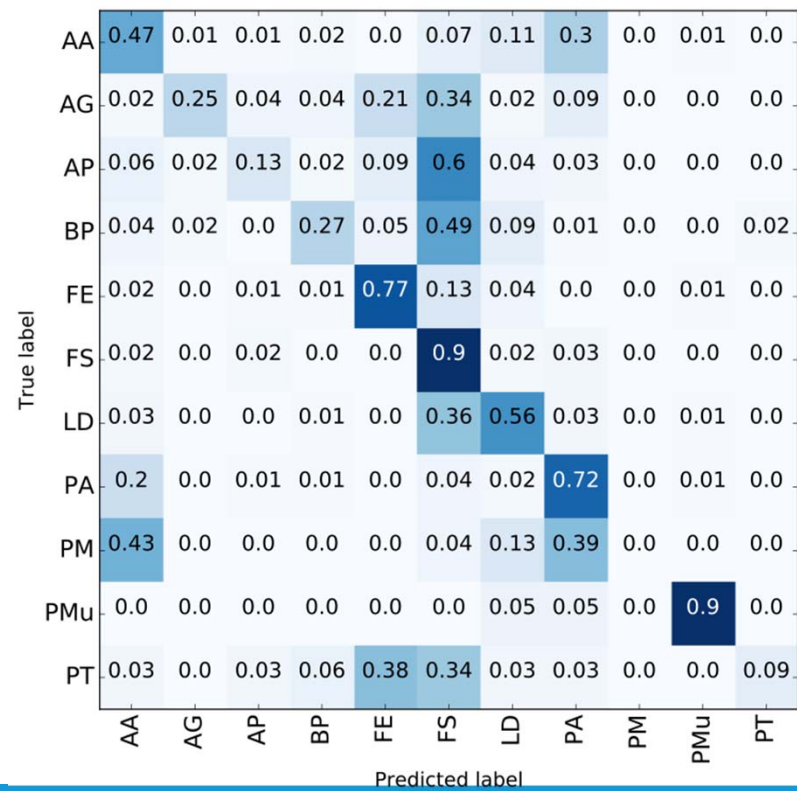
# Results

## Confusion Matrix

### VNIR



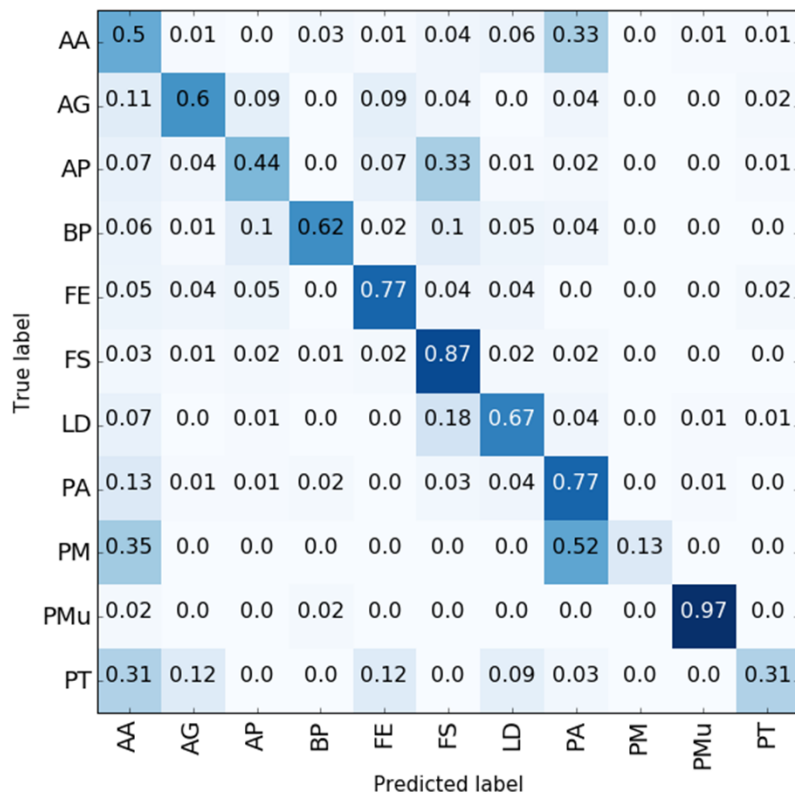
### SWIR



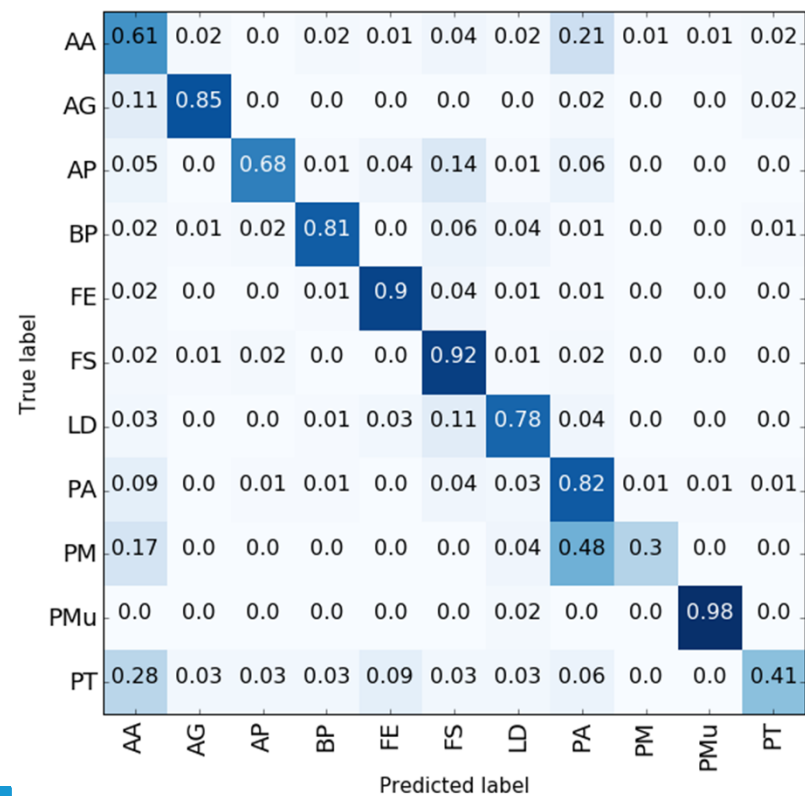
# Results

## Confusion Matrix

### VNIR+SWIR+Indices



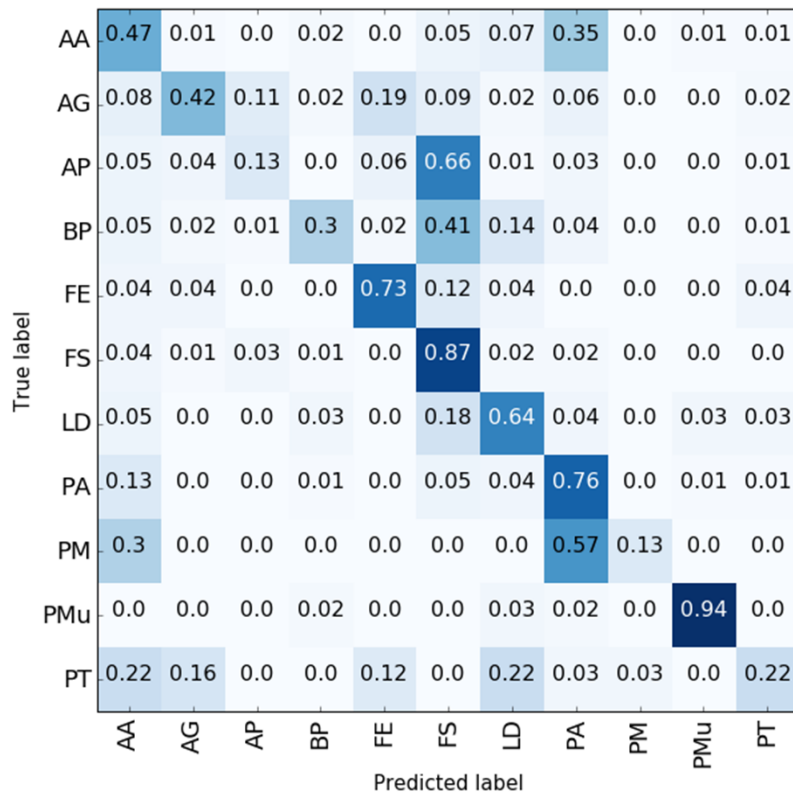
### VNIR+SWIR+Indices+Treecount+DTM



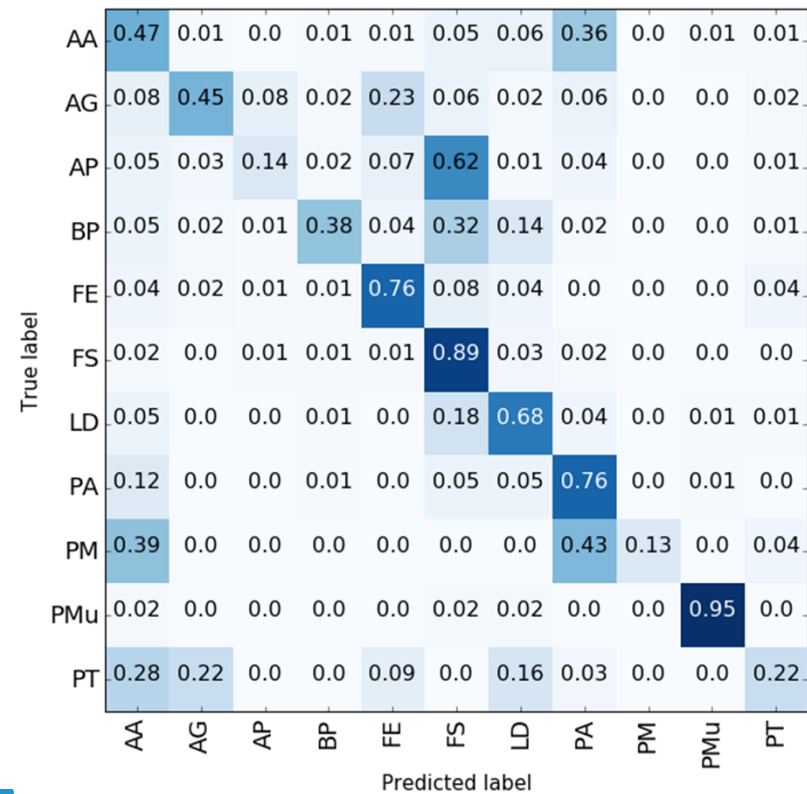
# Results

## Confusion Matrix

### VNIR+SWIR

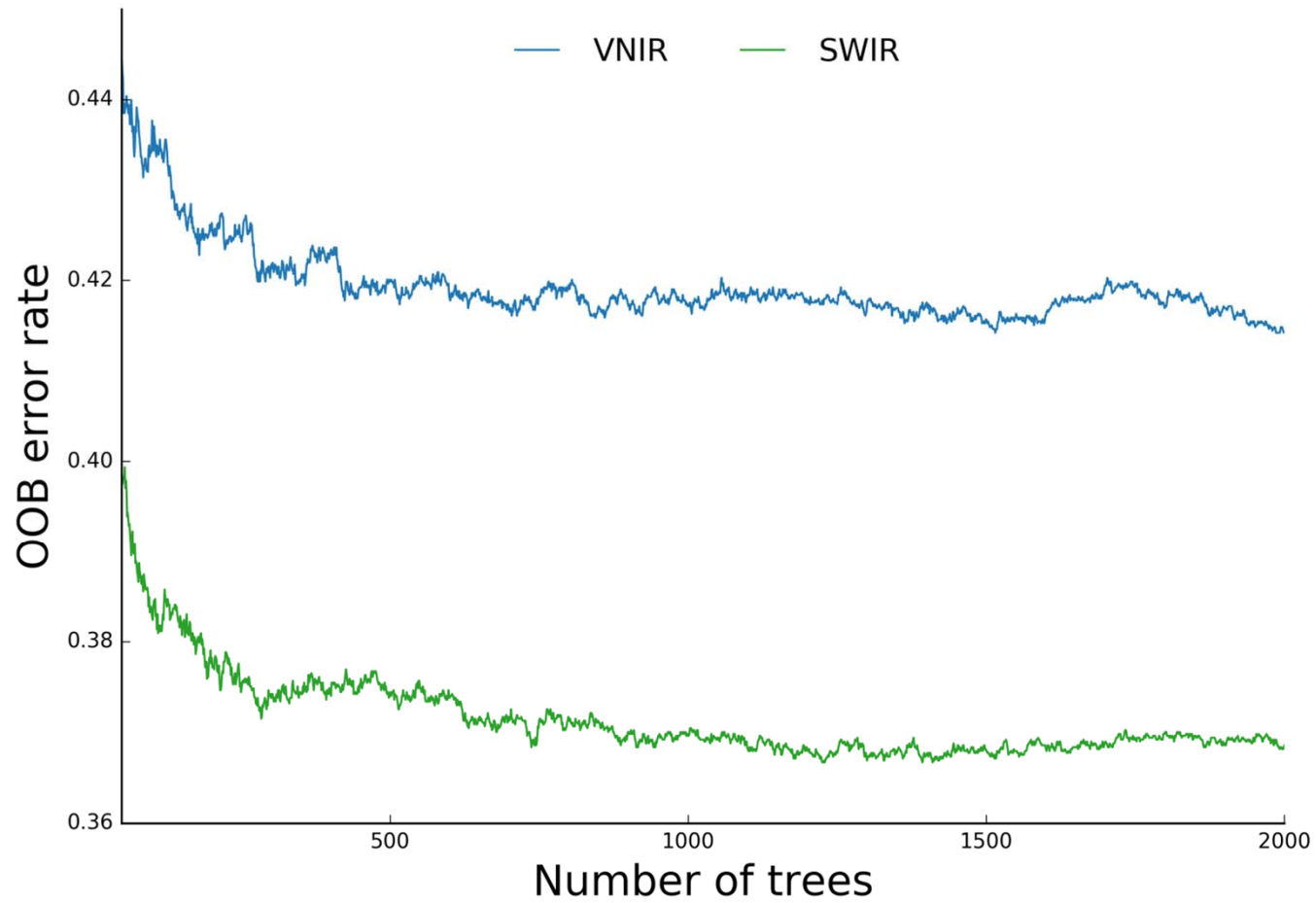


### VNIR+SWIR+Indices





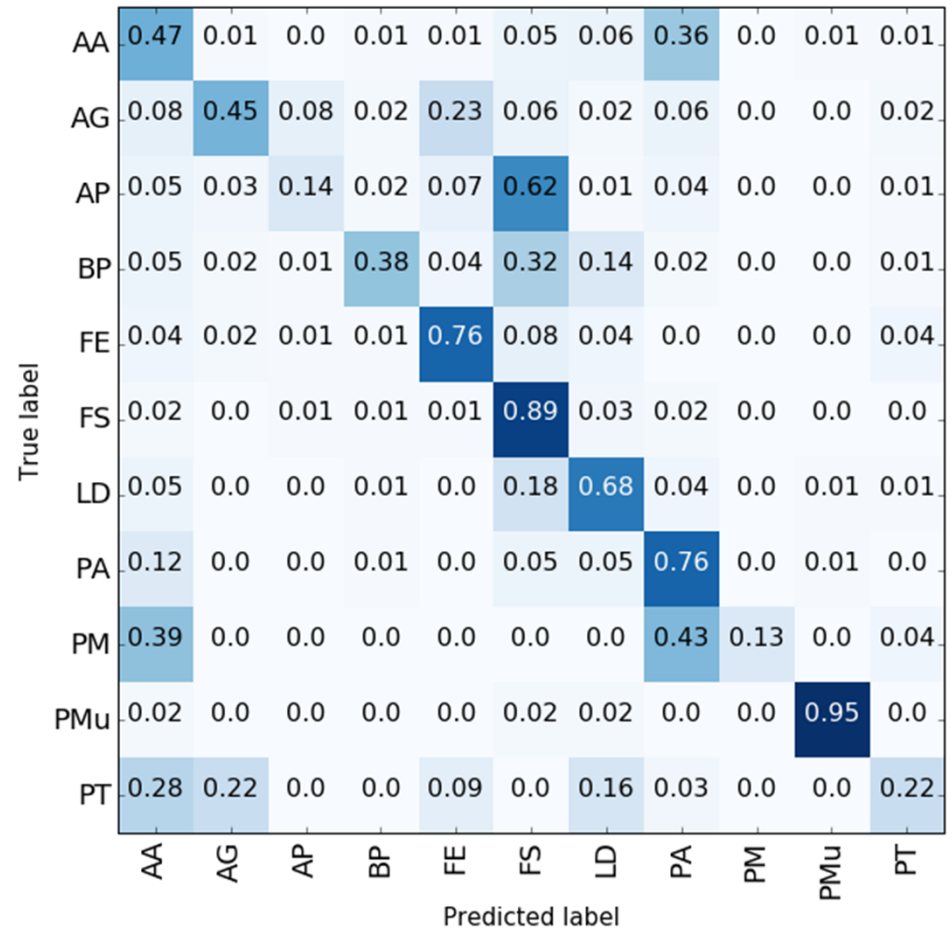
# Results





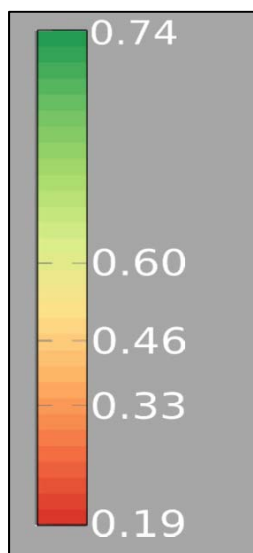
# Results

## Spectral normalized Confusion Matrix



# Results

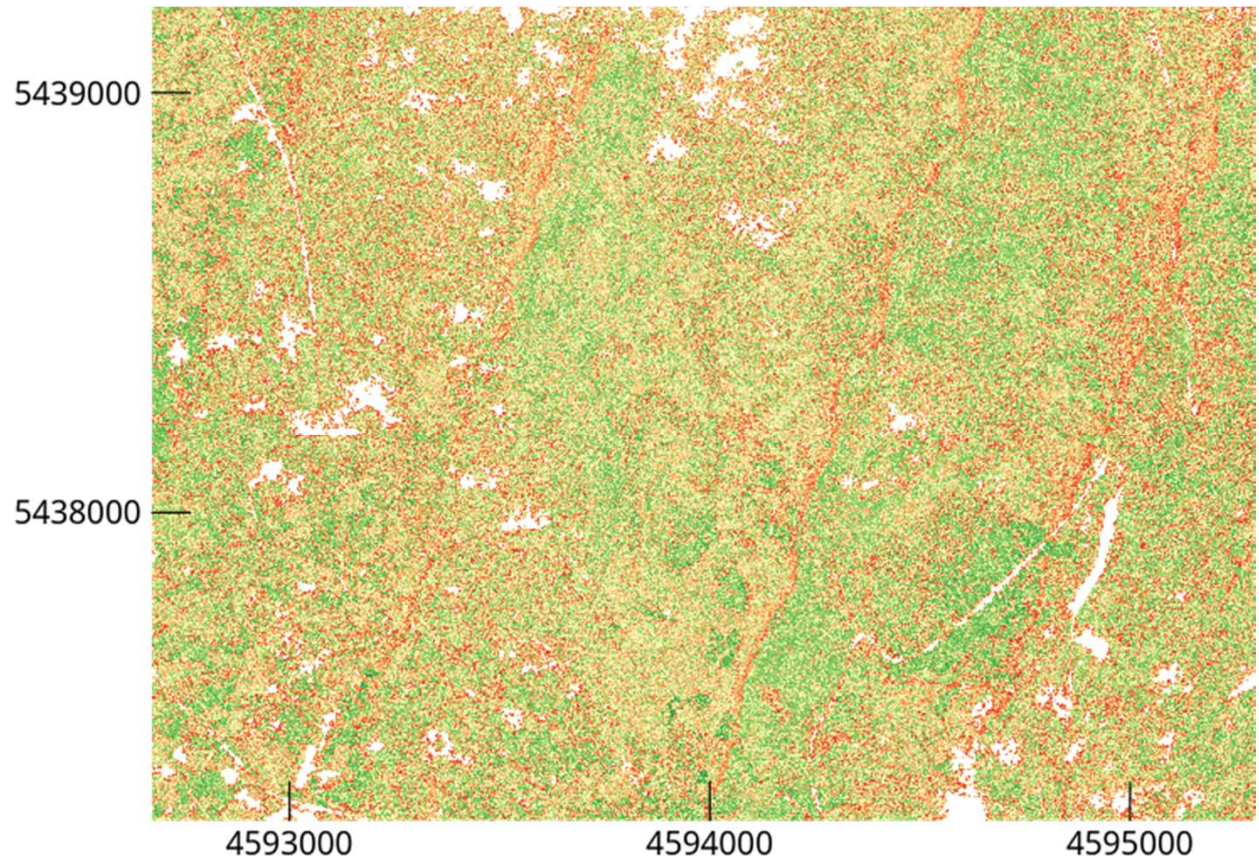
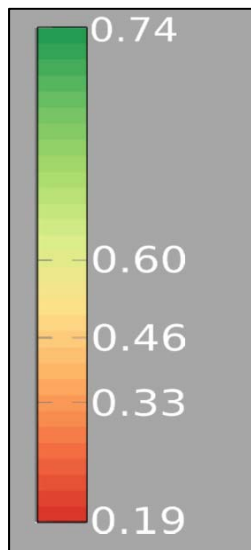
Probability of  
predictions





# Results

## Probability of predictions



# Conclusion I

- ▲ Full spectral coverage (VNIR-SWIR) was very useful
  - ▲ Spatial resolution of 3.2 m was sufficient
  - ▲ Training data sampling is difficult, especially for the minority classes
  - ▲ Structural information e.g. tree count was beneficial
-

## Conclusion II

- ▲ Development of multi-source approach for tree species classification in the Bavarian Forest National Park
- ▲ Final analysis with Random Forest revealed successful discrimination of tree species with an overall accuracy of 94%
- ▲ Application of spectral, structural, and topographic information increases the separability of species having similar spectral signatures

BUT: high classification model accuracy does not necessarily reveal the real map accuracy

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## Conclusion III

- ▲ Caution must be taken when integrating the elevation parameter
    - training and test data set should cover all possible terrain specific variations of the occurring tree species
  
  - ▲ Over-representation of European larch due to the strong similarity to Norway spruce; Lowest classification accuracies for European white birch, Scots pine and European rowan
    - misclassifications due to the low number of available reference data
-

# Outlook

- ▶ Transfer Classification algorithm to Šumava NP
  - ▶ Include phenological information (multitemporal SPOT 5)
  - ▶ Discriminate between dense and open stands
  - ▶ Multitemporal analysis
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# Tree species naming conventions

Latin	English	German
<i>Acer pseudoplatanus</i>	Sycamore Maple	Bergahorn
<i>Populus tremula</i>	European Aspen	Pappel
<i>Betula pendula</i>	European White Birch	Weissbirke
<i>Fagus sylvatica</i>	European Beech	Buche
<i>Pinus mugo</i>	Scots Pine	Kiefer
<i>Alnus glutinosa</i>	European Alder	Roterle
<i>Fraxinus excelsior</i>	European Ash	Esche
<i>Picea abies</i>	Norway Spruce	Fichte
<i>Larix decidua</i>	European Larch	Lärche
<i>Abies alba</i>	European Silver Fir	Weisstanne
<i>Pseudotsuga menziesii</i>	Douglas Fir	Douglasie
	Sallow	Weide
	Common Rowan	Eberesche



# Questions ?





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